

24 February 2025

# **HKEX Synapse** User Guide



# **Table of Contents**

1.	Intro	oduction	8
2.	Sys	tem Availability	9
	2.1	Operating Hours	9
	2.2	Severe Weather Arrangements	.10
	2.3	Data Retention Period in Synapse	.10
3.	Syn	apse Pre-requisite and Workflow	. 11
4.	Get	ting Started	.13
4	4.1	Login to Synapse	.13
4	4.2	Synapse User Types and Role Types	.15
4	4.3	Synapse Dashboard	.22
	4.3.	1 Settlement Instructions	.22
	4.3.	2 Fund Profiles (available to buy side users only)	.25
	4.3.	3 Accounts (available to sell side users only)	.26
	4.3.	4 Notifications	.26
5.	Fun	ds	.31
ł	5.1	Fund Onboarding	.31
	5.1.	1 Asset Managers (AM)	.31
	5.1.	2 Global Custodians (GC)	.42
	5.1.	3 Local Custodians (LC)	.52
!	5.2	Fund Profile Creation	.62
!	5.3	Delete Fund Creation	.64
	5.3.	1 Asset Managers (AM)	.64
!	5.4	Delete Fund Profile Prior to AM Data Manager Input Authorise User's Approval	.67
	5.4.	1 Asset Managers (AM)	.67
!	5.5	Deactivation of an Active Fund or Fund Profile	.68
	5.5.	1 Asset Managers (AM)	.68
!	5.6	Edit Fund Details of an Active Fund	.72
	5.6.	1 Asset Managers (AM)	.72
ł	5.7	Funds List View for Buy Side Participants	.74
	5.7.	1 Asset Managers (AM)	.74
	5.7.	2 Asset Manager Outsourcing Operator (AMOO)	.76
	5.7.	3 Global Custodians (GC)	.76

5.7.4 Local Custodians (LC)	76
5.8 LC Re-Appointment	77
5.8.1 Global Custodians (GC)	77
5.8.2 Local Custodians (LC)	81
6. Accounts	82
6.1 Account Onboarding	82
6.1.1 Exchange Participant (EP)	82
6.1.2 Clearing Participant (CP)	89
6.2 Delete Account Creation Prior to EP's Approval	100
6.2.1 Exchange Participant (EP)	100
6.3 Deactivate Account After Account is Activated	102
6.3.1 Exchange Participant (EP)	102
6.4 Accounts List View for Sell Side Participants	108
6.4.1 Exchange Participant (EP)	108
6.4.2 Exchange Participant Outsourcing Operator (EPOO)	108
6.4.3 Clearing Participant (CP)	109
6.4.4 Account Operator (AO)	109
7. Instruction Processing	110
7.1 Settlement Instructions List View	111
7.1.1 Buy Side	114
7.1.2 Sell Side	118
7.2 Settlement Instruction Details View	121
7.2.1 Buy Side	121
7.2.2 Sell Side	127
7.3 SI/STI Approvals and Rejections	131
7.3.1 Buy Side	131
7.3.2 Sell Side	156
7.4 Special STI (SSTI) Approvals and Rejections	165
7.4.1 Buy Side	166
7.4.2 Sell Side	174
7.5 Settlement Status	
7.5.1 Buy Side	
7.5.2 Sell Side	

7	.6	Health Check	189
7	.7	Transaction References and Lifecycle	193
8.	Rela	ationships	195
8	.1	Buy Side	196
8	.2	Sell Side	200
9.	Mar	ket Data	208
10.	Rep	ports	209
1	0.1	Synapse Reports	209
	10.1	1.1 Daily Audit Trail	209
	10.1	1.2 Statement of Holdings	213
	10.1	1.3 Day-begin Master SPSA Sellable Balance Report (G29)	226
1	0.2	Report Templates	227
	10.2	2.1 Filters	227
	10.2	2.2 Create Report Templates	230
	10.2	2.3 Share Report Templates	233
	10.2	2.4 Delete Report Templates	234
11.	Erro	or Message	237
12.	API	Connectivity	239
1	2.1	API Specification Documentation	239
13.	ISO	Connectivity	240
1	3.1	How to submit CUG request in MySwift	240
1	3.2	How to access ISO Specification via Swift's MyStandards	240
14.	Billi	ng of Synapse Fees	241

### Versions

Publication Date	Version			
24 Feb 2025 [Current]	<ul> <li>Version 1.5 published</li> <li>Add section 10.1.3 Day-begin Master SPSA Sellable Balance Report (G29) to describe the display of the sellable balance report under Reports tab</li> </ul>			
16 Sep 2024	<ul> <li>Update section 4.3 Synapse Dashboard <ul> <li>Remove the wording "No Further Processing" from the CCASS exceptions alert message</li> <li>Update section 5.1 Fund Onboarding <ul> <li>Update section 6.1 Account Onboarding</li> <li>Update section 6.1 Account Onboarding</li> <li>Update section 7.2.1.2 and 7.2.1.3 for the addition of new UI field "EP's account at CP to 15</li> </ul> </li> <li>Update section 7.2.1.2 and 7.2.1.3 for the addition of new UI field "EP's account at CP" in the KEY SETTLEMENT DETAILS tab under PARTICIPANT DETAILS</li> <li>Update section 7.3.1.4 and 7.3.1.5 SI/STI Approvals and Rejection for GC and LC</li> <li>Describe the extraction logic of how EP's account at CP is retrieved from the settlement notification from DTCC via SWIFT MT541 and MT543</li> <li>Provide background and a description of the new health check workflow that is triggered when the approval process starts. Specify the alert message will be promoted when any non-fatal error(s) is/are found in SI Health Check tab</li> <li>Direct Synapse users to reference to section 7.6 for recommendations regarding the failure reasons</li> </ul> </li> <li>Update section 7.6 Health Check to add a new health check item: "EP's account at CP"</li> <li>Describe the new business validation implemented to verify if EP's account at CP is presented in the SN from DTCC and its resolution</li> <li>Add screenshots from "SI Health Check" that displays the failure reason</li> </ul>			
05 Feb 2024	<ul> <li>Version 1.3 published</li> <li>Remove scenarios of manual amendment notification under section 4.3 Synapse Dashboard</li> <li>Remove the alternative approach to select individual AM when submit the SOH subscription request via system post system</li> </ul>			

Publication Date	Version			
	<ul> <li>enhancement under section 10.2 Statement of Holding Report Subscriptions</li> <li>Remove the note that reminder user not to approve cancelled SN for a SI/STI as cancelled SN will no longer available for approval under section 7.3 SI/STI Approvals and Rejections</li> </ul>			
02 Dec 2023	<ul> <li>Version 1.2 published</li> <li>Update the operation hours table under section 2 System Availability</li> <li>Remove the description of exception scenarios post system enhancement on below user functions <ul> <li>Account Onboarding</li> <li>Deactivate Account after account is activated</li> <li>DTCC send a cancelled SN for a SI/STI</li> <li>Audit Log retrieval</li> <li>Apply filter on reporting on Settlement Instruction List view</li> </ul> </li> </ul>			
04 Oct 2023	<ul> <li>Version 1.1 published</li> <li>Enriched the content of application behaviour of logging in to Synapse and refreshed the screen capture of HKEX Access Management Portal under section 4.1 Login to Synapse</li> <li>Added the functional ID and role type in HKEX Access Management Portal under section 4.2 Synapse User Types and Role Types to provide reference for access and role management</li> </ul>			
18 Sep 2023	First version published			

#### DISCLAIMAER

The information contained in this document is for general informational purposes only and does not constitute an offer, solicitation or recommendation to use HKEX Synapse, or buy or sell any securities or other products, or to provide any investment advice or service of any kind. This document is not directed at, and is not intended for distribution to or use by, any person or entity in any jurisdiction or country where such distribution or use would be contrary to law or regulation or which would subject Hong Kong Exchanges and Clearing Limited, The Stock Exchange of Hong Kong Limited, Hong Kong Securities Clearing Company Limited (together, the "Entities", each an "Entity"), or any of their affiliates, or any of the companies that they operate, to any registration requirement within such jurisdiction or country.

Although the information contained in this document is obtained or compiled from sources believed to be reliable, none of the Entities guarantees the accuracy, validity, timeliness or completeness of the information or data for any particular purpose, and the Entities and the companies that they operate shall not accept any responsibility for, or be liable for, errors, omissions or other inaccuracies in the information or for the consequences thereof. The information set out in this document is provided on an "as is" and "as available" basis and may be amended or changed from time to time. It is not a substitute for professional advice which takes account of your specific circumstances and nothing in this document constitutes legal advice. None of the Entities shall be responsible or liable for

any loss or damage, directly or indirectly, arising from the use of or reliance upon any information provided in this document. Nothing in this document may be regarded as creating any obligation on the part of any of the Entities.

## 1. Introduction

Since its launch, Stock Connect, the landmark mutual market access programme linking the Hong Kong and Mainland China equity markets, has fundamentally changed capital markets in the region, pioneering greater accessibility and offering more investor choice, resulting in record trading volumes.

As international investors' access and participation in China's onshore market grows, so too do the post-trade complexities, due to different settlement requirements across markets. Market participants, including Asset Managers (AMs), Global Custodians (GCs), Local Custodians (LCs), Exchange Participants (EPs), and Clearing Participants (CPs), have been deploying tailored solutions to improve post-trade efficiencies. The lack of interoperability amongst these solutions, however, has in turn created additional operating processing and counterparty risks.

Hong Kong Exchanges and Clearing Limited (HKEX) is launching HKEX Synapse, a new integrated post-trade platform and workflow tool, generating a single source of truth for settlement instructions for its landmark Stock Connect programme. Synapse simultaneously generates settlement instructions and provides near instantaneous status updates to all parties along the settlement chain, facilitating concurrent processing, providing greater efficiency and transparency to Northbound Stock Connect's market participants, while connecting them to a more seamless post-trade workflow. Synapse will alleviate existing market challenges and standardise the current information and instruction transmission process in relation to transactions under the Northbound Stock Connect Programme. AMs, GCs, LCs, EPs and CPs will all benefit from the improved connectivity.

This Synapse User Guide aims to provide detailed Synapse Operational Procedures and other operational and connectivity details to Synapse Users. In addition to this user guide, Synapse Users should also refer to Synapse FAQ and other materials posted on HKEX Synapse website before using Synapse. Parties who are interested to join Synapse should also refer to the Synapse New Application Guidelines available on HKEX website.

# 2. System Availability

## 2.1 Operating Hours

Synapse will be operational from 7:00 AM to 12:00 Midnight (Hong Kong Time UTC+8), from Monday to Friday (which is also a business day when the Northbound Stock Connect is available for trading). Any further scheduled ad-hoc maintenance work will be communicated to all users in advance.

Synapse Users may contact HKEX Synapse Operations Team via phone at +852 2840-3048 from HKT 9:00 AM – 8:00 PM or email at <u>synapse\_support@hkex.com.hk</u> for general enquiries.

In normal circumstance, Synapse will operate in different modes in specified time during the Northbound trading day:

Hong Kong	Hong Kong Time (UTC +8)				
From	То	Synapse Operating Mode			
7:00 AM	7:14 AM	<ul> <li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>All other functions within Synapse will remain normal and available</li> </ul>			
7:15 AM	8:05 PM	<ul> <li>All functions (including interface with CCASS) will be available</li> </ul>			
8:06 PM	12:00 Midnight	<ul> <li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>All other functions within Synapse will remain normal and available</li> </ul>			
12:01 AM	6:59 AM	<ul> <li>Synapse will be in maintenance mode and none of its functions will be available</li> </ul>			

# 2.2 Severe Weather Arrangements

If a Typhoon Signal No 8 (or above) or Extreme Conditions or Black Rainstorm Warning are issued by the Hong Kong Observatory, the service arrangement of Synapse will be as below:

Scenarios	Synapse Operating Mode
Signal / Extreme Conditions / Warning issued before 9:00 AM and cancelled at or before 12:00 Noon	<ul> <li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>All other functions within Synapse will remain normal and available</li> <li>Synapse will resume the interface with CCASS two hours following the discontinuation of the Signal / Extreme Conditions /Warning</li> </ul>
Signal / Extreme Conditions / Warning issued before 9:00 AM and cancelled after 12:00 Noon	<ul> <li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>All other functions within Synapse will remain normal and available</li> <li>No Synapse service for the day in CCASS and that day will not be treated as a Settlement Day</li> </ul>
Signal / Extreme Conditions / Warning issued at or after 9:00 AM	<ul> <li>Normal Synapse service will be available</li> </ul>

# 2.3 Data Retention Period in Synapse

Synapse online retention period is 31 calendar days for settlement instructions after such instructions have no further status update in Synapse, and for accounts / funds / statement of holding subscription requests that are pending approval by Synapse Users. Similarly, for inactivated funds / accounts, they will be retained in Synapse for 31 calendar days. Synapse Users are encouraged to keep record of all Synapse's data by their own for internal usage / reference if needed.

## 3. Synapse Pre-requisite and Workflow

- 1. The AM and EP, are required to be connected to a matching platform provider eligible to send matched instructions to Synapse. Clients requiring further information on the eligible matching platform providers may contact HKEX Synapse Operations Team.
- The buy-side (i.e. AM, GC and LC) and sell-side (i.e. EP and CP) need to onboard as the Synapse Users. For AM, EP and CP, they may appoint outsourcing operators to perform Synapse operations on their behalf (i.e. Asset Manager Middle Office Outsourcing Operator (AMOO) for AM, Exchange Participant Middle Office Outsourcing Operator (EPOO) for EP and Account Operator (AO) for CP, collectively known as Designated Service Providers).
- 3. After Synapse Users are onboard to Synapse,
  - a. for buy-side chain users, they need to set-up their buy-side relationship by onboarding the fund and setting up data relevant to that fund. After the fund is onboarded in Synapse successfully, Synapse can start to consume the settlement instructions of the respective fund from the matching platform for further processing.
  - b. for sell-side chain users, they need to set-up their sell-side relationship by onboarding the account and setting up data relevant to that account. After the account is onboarded in Synapse successfully, Synapse can start to consume the settlement instructions of the respective account from the matching platform for further processing.
- 4. AM and EP perform block and allocation matching on the eligible matching platform provider side, with Standing Settlement Instruction (SSI) enrichment.
- 5. Synapse consumes the "match agreed" allocations from matching platform with SSI enrichment and then starts orchestrating the settlement instructions within Synapse, based on the fund and account onboarded via step 3. Please note if the newly listed China Connect Securities do not possess ISIN initially, these securities will not be applicable to Synapse.
- 6. Upon consumption of the "match agreed" allocations with SSI enrichment from the eligible matching platform provider, and thus generating the single source of truth, Synapse creates settlement instructions to GC, LC and CP. A single common reference, Unique Transaction Identifier (UTI), will be utilised across all instructions generated for all parties, on matching platform provider side, in Synapse and a truncated version of it in CCASS.
- 7. GC, LC and CP perform their internal checks. They are required to provide either an "Acknowledged Accepted" or a "Rejected" status with reason to Synapse.
- 8. Synapse will make available all "Acknowledged Accepted" and/or "Rejected" status with reason to all Synapse Users.
- 9. Synapse generates a settlement instruction (SI) to the HKEX Central Clearing and Settlement system (CCASS)
  - a. upon receiving "Acknowledged Accepted" from both GC and LC, Synapse

generates an SI to CCASS on behalf of the LC.

- b. upon receiving "Acknowledged Accepted" from CP, Synapse generates an SI to CCASS on behalf of the CP.
- 10. CCASS performs its matching and settlement processing following the existing Northbound Stock Connect matching and settlement batches.
- 11. Synapse consumes the settlement status from CCASS and disseminates it to AM, EP, GC, LC and CP via their selected communication channels.

Note: AM and EP may send matched and agreed cancellation on the trade allocation to Synapse through the matching platform. Once consumed such cancellation, Synapse will check the latest settlement status of the respective SI, and if such SI is not already cancelled or settled, Synapse will proceed with the cancellation accordingly without requiring the GC, LC or CP's approval.

## 4. Getting Started

## 4.1 Login to Synapse



Synapse user could log into Synapse by entering this URL on the web browser: <u>https://synapse.hkex.com.hk/</u>.<sup>1</sup> This URL will direct user to HKEX Access Management Portal and the user will be required to enter log in detail (i.e. User ID/Email and Password). After successfully login, the user will be directed to Synapse Dashboard screen.

Functions	Description
Calendar View	Shows current date
Username	User can view its own Username
Synapse Menu	Dashboard, Settlement Instructions, Funds (for buy side) / Accounts (for
Panel	sell side), Relationships, Market Data, Reports

The upper right-hand side of the Dashboard screen has several functions:

<sup>&</sup>lt;sup>1</sup> User could also login via <u>https://connect.hkex.com.hk</u>. However, user will be required to click the Synapse link on the navigation bar to enter Synapse Dashboard screen.

#### **Buy-side Dashboard:**

There are 6 main tabs on the Buy Side's Dashboard screen navigation bar: Dashboard, Settlement Instructions, Funds, Relationships, Market Data, and Reports. Further details for each tab and its functionality will be provided throughout the user guide.

HKEX Synapse The Power of Connectivity.		▲ Notifications ~ 🗎 16 November 20			021 @ CP0039_UM ~ 🏋	
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
DASHBOARD						

#### Sell-side Dashboard:

There are 6 main tabs on the Sell Side's Dashboard screen navigation bar: Dashboard, Settlement Instructions, Accounts, Relationships, Market Data, and Reports. Further details for each tab and its functionality will be provided throughout the user guide.



# 4.2 Synapse User Types and Role Types

There are eight different types of Synapse Users or Designated Service Providers (DSPs):

- 1. Asset Managers (AM)
- 2. Global Custodians (GC)
- 3. Local Custodians (LC)
- 4. Exchange Participants (EP)
- 5. Clearing Participants (CP)
- 6. Asset Manager's Middle Office Outsourcing Operators (AMOO)
- 7. Exchange Participant's Middle Office Outsourcing Operators (EPOO)
- 8. Clearing Participant's Account Operators (AO)

Synapse role types are assigned by the Delegated Administrators (DA) of the Synapse Users and are passed to the Synapse application when the user logs into the Synapse UI through HKEX Access Management Portal. Refer to Synapse New Application Guidelines for the steps and reference of user management (i.e. user creation and assign function).

Function ID & Role Type in HKEX Access Management Portal	Role Type	Description	Available Functions
EU_DataManager (maker role)	Data Manager Input Only User ('Maker')	<ul> <li>User can input data and play the role of "maker"</li> <li>User cannot authorize any data input</li> <li>Users cannot input data outside of their Data Manager input only user role</li> </ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports
EU_DataManager (checker role)	Data Manager Input Authorise User ('Maker' or 'Checker')	<ul> <li>User can authorize data input by Data Manager input only user (maker)</li> <li>User plays the role of "checker" on those functions which require the Data Manager maker-checker functionality</li> <li>User can also input data as a "maker." [Note: a different Data Manager input authorize user (i.e., checker) would have to authorize their input]</li> <li>User cannot input or authorize data outside of their Data Manager input authorize user role</li> </ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports

EU_Transaction Balances (maker role)	Transaction Balance Input Only User ('Maker')	<ul> <li>User can input data and play the role of "maker"</li> <li>User cannot authorize any data input</li> <li>User cannot input data outside of their Transaction Balances User input only user role</li> </ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports
EU_Transaction Balances (checker role)	Transaction Balance Input Authorise User ('Maker' or 'Checker')	<ul> <li>User can authorize data input by Transaction Balance input only user (maker)</li> <li>User plays the role of "checker" on those functions which require the Transaction Balance maker-checker functionality</li> <li>User can also input data as a "maker." [Note: a different Transaction Balance input authorize user (i.e., "checker") would have to authorize their input]</li> <li>User cannot input or authorize data outside of their Transaction Balance input authorize user role</li> </ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports
EU_SYNUser (enquiry role)	Read Only User	<ul> <li>User can only view / access data and information to which their firm is allowed access</li> <li>User does not have ability to input or authorize changes</li> <li>Note: user can also be a company that has presented an ISO message or API call that has been restricted due to read only policy</li> </ul>	5 Funds 6 Accounts 7 Instruction Processing 8 Relationships 9 Market Data 10 Reports

For AM, EP and CP (i.e. known as core users) who have appointed DSPs will become read-only users and will not able to perform any fund onboarding maintenance (applicable to AM) / account onboarding maintenance (applicable to EP and CP) / SI approval or rejection activities (applicable to CP). The DSP appointed will perform these activities on behalf of the core users.

#### 1. Buy Side

Buy Side users include AMs, GCs, LCs and AMOOs. On the Dashboard screen, buy side users can view Settlement Instructions, Fund Profiles, and Notifications.

Sample dashboard screens of each type of buy side users can be seen below:

#### AM:

<b>H</b> The I	KEX Synapse				🗎 23 August	2022 (i) synuat011 synuat011	X
	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Crganization: SynComp502	
DAS	HBOARD					Asset Manager	
	SETTLEMENT INSTRUCTIO	NS⊕	FUND PROFILES + New Fund		NOTIFICATIONS	Role Type: Input-Only	
	O Allocation Received O Processing in Synapse O Unmatched O Matched O Sattled		O Awaiting AM Checker Approval O Awaiting GC Approval O Awaiting LC Approval		<ul> <li>Funds (0)         PREVIEW ~     <li>Participants (0)         PREVIEW ~         <li>Relationships (0)         PREVIEW ~         <li>CCASS Exceptions (0)         PREVIEW ~         <li>Sls (0)</li> </li></li></li></li></ul>	Induction)     Function 2:     Transaction Balances     Role Type:     Induction 3:     Function 3:     Prote Type:     Induction     Constraint Con	
	O Cancelled				PREVIEW 👻		

Hł The F	KEX Synapse				🗎 23 August 2	1022 🕃 synuat071 synuat071 🔬 🕽	C
	Dashboard S	settlement Instructions	Funds	Relationships	Market Data	Crganization: SynComp511	
DAS	HBOARD					Global Custodian	
	SETTLEMENT INSTRUCTIONS	1	FUND PROFILE S I		NOTIFICATIONS	Transaction-Balances	
	15 Allocation Received 3 Processing in Synapse 1 Unmatched 0 Matched 9		0 Awatting GC Maker Approval 0 Awatting GC Checker Approval 0 Awatting LC Approval		<ul> <li>Funds (13) PREVIEW ~</li> <li>Participants (0) PREVIEW ~</li> <li>Relationships (0) PREVIEW ~</li> <li>CCASS Exceptions (0) PREVIEW ~</li> <li>Sis (153)</li> </ul>	Function 2 : SYN User     Role Type: Input-Only     Function 3 : Onde Type: Input-Only     Usepoint	
	2 Cancelled				PREVIEW 👻		

## LC:

Dashboard     Settlement Instructions     Funds     Relationships     Mark       DASHBOARD     SETTLEMENT INSTRUCTIONS®     FUND PROFILES®     NOTIFICATIONS       15     Allocation Received     0     Availing LC Maker Approval     Funds (12)       3     Processing in Synapse     0     Availing LC Checker Approval     Participants       1     L     Availing LC Checker Approval     Participants	🗎 23 August 2022 ④ synuat141 synuat141 🔬			HKEX Synapse
DASHBOARD         SETTLEMENT INSTRUCTIONS®       FUND PROFILES®       NOTIFICATION         15       0       A Funds (12)       PREVIEW ~         3       Allocation Received       Awaiting LC Maker Approval       P Participants         1       Awaiting LC Checker Approval       P Participants         1       Awaiting LC Checker Approval       P Relationship	Data ACTING AS:	Funds Relationships I	Settlement Instructions	Dashboard
SETTLEMENT INSTRUCTIONS®     FUND PROFILES®     NOTIFICATION       15     0     Availing LC Maker Approval     PREVIEW +       3     0     Availing LC Checker Approval     Participants       1     4     Precisionship     Precisionship	E loentry: Local Custodian			DASHBOARD
15     0     A Funds (12)       Allocation Received     Avraiting LC Maker Approval     PREVIEW ~       3     0     Avraiting LC Checker Approval       Processing in Synapse     Avraiting LC Checker Approval     PREVIEW ~       1     Avraiting LC Checker Approval     Relationship	IS Data Manager	FUND PROFILES® NOTIFIC	ONS® FU	SETTLEMENT INSTRUCT
Unmatched     PREVIEW       O     A CCASS Exc       Matched     PREVIEW       9     Settled	(0) (0) (0) (0) (0) (0) (0) (0)	O     Awating LC Maker Approval     Approval     Awating LC Checker Approval     Awating LC Checker Approval     Relatio     PREVIEW     CCASS     PREVIEW     SIS (15     PREVIEW	O Aw O Aw	15 Allocation Received 3 Processing in Synapse 1 Unmatched 0 Matched 9 Settled
2 Cancelled				2 Cancelled

#### AMOO:

HKEX Synapse The Power of Connectivity.				🛱 24 August 2022 👁 Acting As: SynComp502	<ul> <li>synual391 synual391</li> <li>synual391</li> <li>synual391</li> <li>synual391</li> </ul>
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	ACTING AS:
DASHBOARD					AM Outsourcing Operator
SETTLEMENT INSTRUCT	ONS®	FUND PROFILES + New Fund		NOTIFICATIONS	<ul> <li>Function 1 : Data Manager</li> <li>Role Type:</li> </ul>
O Allocation Received		1 Awaiting AM Checker Approval		Funds (0) PREVIEW	Function 2 : SYN User
<b>O</b> Processing in Synapse		O Awaiting GC Approval		♠ Participants (0) PREVIEW	Role Type: Input-Only
0 Unmatched		O Awaiting LC Approval		Relationships (0) PREVIEW	
0 Matched				♠ CCASS Exceptions (0) PREVIEW	
0 Settled				Sis (0)	
0 Cancelled				PREVIEW V	

#### 2. Sell Side

Sell Side users include EPs, CPs, EPOOs and AOs. On the Dashboard screen, sell side users can view Settlement Instructions, Accounts, and Notifications.

Sample dashboard screens of each type of sell side users can be seen below:

EP:

HP The F					🗎 23 August	2022 🕃 synuat211 synuat211 🗼 💢
	Dealtheard			Dubringshing	Madat Data	In Organization: SynComp531
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
DAS	HBOARD					Function 1 : SYN User
	SETTLEMENT INSTRUCTIO	N S 🖻	ACCOUNTS + New Account		NOTIFICATIONS	Role Type: Input-Only
	15 Allocation Received		O Awaiting EP Checker Approval		Accounts (6)	Function 2 : Transaction-Balances
	5 Processing in Synapse		O Awaiting CP Approval		Participants (0) PREVIEW	Function 3 :     Data Manager
	1 Unmatched				Relationships (0)	Role Type: Input-Only
	0 Matched				CCASS Exceptions (0)	
	8 Settled				<ul> <li>SIs (153)</li> </ul>	
	1 Cancelled				PREVIEW ¥	

#### CP:

KEX Synapse		en 23 August 2	1022 🔿 svnijat281 svnijat281 🔒
Power of Connectivity. Dashboard Settlement Instructions	Accounts Relationships	Market Data	Organization: SynComp541 ACTING AS:
HBOARD			Clearing Participant
SETTLEMENT IN STRUCTION S®	ACCOUNTS	NOTIFICATIONS	SYN User Role Type: Input-Only
15 Allocation Received	O Awaiting CP Maker Approval	Accounts (6)	Function 2 : Transaction-Balances
5 Processing in Synapse	O Awaiting CP Checker Approval	♠ Participants (0) PREVIEW	Function 3 : Data Manager
1 Unmatched		Relationships (0)	Concert Role Type: Input-Only
0 Matched		CCASS Exceptions (0)	
8 Settled		<ul> <li>Sis (153)</li> </ul>	
1 Cancelled		PREVIEW 👻	
1 Cancelled		PREVIEW 👻	

#### EPOO:

HK The Po	EX Synapse			📋 24 August 2022 👁 Acting As: SynCompS32 🗸	synuat431 synuat431     Grganization:     SynComp562
	Dashboard Settlen	nent Instructions Accounts	Relationships	Market Data	ACTING AS:
DASH	BOARD				EP Outsourcing Operator
	SETTLEMENT INSTRUCTIONS®	ACCOUNTS + N	ew Account	NOTIFICATIONS	SYN User
	0 Allocation Received	0 Awaiting EP Checker A	pproval	Accounts (0)	Input-Only  Function 2 : Data Manager
	O Processing in Synapse	O Awaiting CP Approval		Participants (0) PREVIEW ▼	Role Type: Input-Only
	0 Unmatched			▲ Relationships (0) PREVIEW	Iransaction-Balances Role Type: Input-Only
	0 Matched			CCASS Exceptions (0)	()Logout
	0 Settled			▲ SIs (0)	
	O Cancelled			PKEVIEW ¥	

AO:

HKEX Synapse The Power of Connectivity.			n 24 August 2022 👁 Acting As: SynCo	omp542 ° (a) synuat351 synuat351 Drgsnization: SynComp51
Dashboard	Settlement Instructions	Accounts	elationships Market Data	ACTING AS:
ASHBOARD				Account Operator
SETTLEMENT INSTRUCTIO	N S 🖻	ACCOUNTS	NOTIFICATIONS	Function 1 : SYN User Role Type: Input-Only
0 Allocation Received		O Awaiting CP Maker Approval	Accounts (0)	Function 2 : Data Manager
O Processing in Synapse		O Awaiting CP Checker Approval	♠ Participants (0) PREVIEW	Function 3 : Transaction-Balances
0 Unmatched			♣ Relationships (0) PREVIEW ▼	Role Type: Input-Only
0 Matched			CCASS Exceptions (0)	Crogoot
0 Settled			▲ SIS (0)	
0 Cancelled			PREVIEW 👻	

## 4.3 Synapse Dashboard

Synapse Users can view the following sections on the dashboard 1) Settlement Instructions, 2) Fund Profiles (buy side users only), 3) Accounts (for sell side users only) and 4) Notifications.

#### 4.3.1 Settlement Instructions

The Settlement Instructions section shows a summary of allocations received and Settlement Instructions statuses. By clicking on a Settlement Instruction status related fields (Allocations Received is not included), the application automatically jumps to the Settlement Instruction List View and highlights the quick filter result displayed on the Dashboard.

Section Sub-	Description
header	
Allocation Received	Shows the number of all matched allocations or matched cancelled allocations from CTM that passed business validation on current HKT business day which is the same as the creation date.
Processing	Shows the total number of all Settlement Instructions pending approval or being rejected (please see below for list of Synapse rejection reasons) such that Settlement Instructions have not yet been submitted to CCASS, i.e., no CCASS Input Number has been received yet, on current HKT business day and within the past 31 calendar days.
	Transactions with the following Synapse status are included into that counter:
	RJGC – rejected by Global Custodian – transaction is rejected by Global Custodian
	RJLC – rejected by Local Custodian – transaction is rejected by Local Custodian
	RJCP – rejected by Clearing Participant – transaction is rejected by Clearing Participant
	• RJCE – rejected by CCASS – transaction is rejected by CCASS as it carries information not recognized by CCASS, or due to system error.
	Note: If the SCV is with Synapse status = CTHP (Cancelled By Third Party) but with no CCASS status (i.e., the SN is cancelled before being approved by GC/LC/CP (before directed to CCASS)), it will show as "Processing" in the list view instead of "Cancelled". If such SCV is subsequently being approved by GC/ LC / CP then Synapse will send to CCASS and the unmatched / matched / settled counter will also be updated subsequently. Please refer to Section 7.5 for different CCASS

	status.
Unmatched	Shows the total number of Settlement Instructions (SI) with CCASS
	status "Unmatched" on current HKT business day and within the past 31
	calendar days.
	Transactions with the following CCASS status are included into that
	counter:
	<ul> <li>NCRR – settlement currency unmatched</li> </ul>
	DSEC – stock code/ISIN unmatched
	<ul> <li>DQUA – quantity unmatched</li> </ul>
	<ul> <li>CMIS – no possible matching SI found</li> </ul>
	OTHR – other
	<ul> <li>FRAP – payment instruction unmatched</li> </ul>
	<ul> <li>PODU – possible matching SI but not earmarked as pairs</li> </ul>
	<ul> <li>SAFE – client A/C no. unmatched</li> </ul>
	<ul> <li>DMON – money value unmatched</li> </ul>
	DDAT – settlement date unmatched
	DELN – transaction direction unmatched
Matched	Shows the total number of Settlement Instructions (SI and STI) with
	CCASS Status "Matched" on current HKT business day and within the
	past 31 calendar days.
	The CCASS statuses supported by Synapse are:
	MTCH – matched
	CYCL – matched – payment validated
	<ul> <li>CVAL – matched – RDP shares on hold</li> </ul>
	PREA – matched – matched on hold or counterparty instruction on
	hold
	CAIS – pending for transfer (STI only)
Settled	Shows the total number of Settlement Instructions (SI and STI) with
	CCASS Status "Settled" for SI or "Transferred" for STI on current HKT
	business day. If the settlement instruction settled on current HK I
	business day is not created today (e.g. created previously on 1-1), the "Settled" equator will not be reflected
	Settled counter will not be renected.
	The CCASS statuses supported by Synapse are:
	• SETD – settled
Cancelled	Shows the total number of all cancelled transaction of SI and STI (all
	end of lifecycle statuses) on current HKT business day which is the
	same as the creation date. Cancelled SI / STI before approval will not be

reflected.
The CCASS statuses supported by Synapse are:
<ul> <li>CSUB – cancelled – revoked SI by counterparty</li> <li>CANS – cancelled – SI/STI purged</li> <li>CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> </ul>

## 4.3.2 Fund Profiles (available to buy side users only)

Section Sub-	Description
header	
New Fund Quick Button	Navigate to New Fund creation page
Fund Profile Status	<ul> <li>Awaiting AM Data Manager Input Authorise User Approval – the count represents the number of funds that are pending AM Data Manager Input Authorise User approval</li> <li>Awaiting GC Approval – the count represents the number of funds that are pending GC approval</li> <li>Awaiting LC Approval – the count represents the number of funds that are pending LC approval</li> <li>Awaiting GC Data Manager Input Only User Approval – the count represents the number of funds that are pending GC Data Manager Input Only User Approval – the count represents the number of funds that are pending GC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending GC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending GC Data Manager Input Authorise User approval</li> <li>Awaiting LC Approval – the count represents the number of funds that are pending LC approval</li> <li>Awaiting LC Data Manager Input Only User Approval – the count represents the number of funds that are pending LC Data Manager Input Only User Approval – the count represents the number of funds that are pending LC Data Manager Input Only User Approval – the count represents the number of funds that are pending LC Data Manager Input Only User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise User Approval – the count represents the number of funds that are pending LC Data Manager Input Authorise Us</li></ul>

The Fund Profiles section shows a summary of Fund onboarding's statuses.

#### 4.3.3 Accounts (available to sell side users only)

Section Sub- header	Description
New Account Quick Button	Navigate to New Account creation page
Account Status	<ul> <li><u>EP View</u></li> <li>Awaiting EP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending EP Data Manager Input Authorise User approval</li> <li>Awaiting CP Approval – the count represents the number of accounts that are pending CP approval</li> <li><u>CP View</u></li> <li>Awaiting CP Data Manager Input Only User Approval – the count represents the number of accounts that are pending CP Data Manager Input Only User Approval – the count represents the number of accounts that are pending CP Data Manager Input Only User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval – the count represents the number of accounts that are pending CP Data Manager Input Authorise User Approval</li> </ul>

The Accounts Profiles section shows a summary of Accounts' statuses.

#### 4.3.4 Notifications

The Notifications section shows a summary of notifications. Notifications are shown according to the pop-up sequence and the red dot on the left-hand side indicated new notifications not yet read by users. Notifications will be removed 14 calendar days following the effective date of the events.

Section Sub-	Description
header	
Funds	(available to buy side users only)
	Fund notifications include:
	Updated fund status and effective date
	Fund profile inactivation and effective date
	LC re-appointment of a Fund and effective date
Accounts	(available to sell side users only)
	Account notifications include:
	EP updated account mapping status with CP and effective date
	Account mapping inactivation and effective date
Relationships	Reserved for future's use
Settlement	Settlement Instructions notifications include:
Instructions	Settlement Instruction detail is updated due to Corporate Action (CA) conversion in CCASS

	Settlement Instruction is pending cancellation						
	• Settlement Instruction is settled in CCASS, and no cancellation can						
	be taken						
CCASS	CCASS Exception notifications include:						
Exceptions	SI system error						
(LC, CP, AO	STI system error						
only)	Manual SI field amendment by LC / CP in CCASS.						
	Manual ISIN amendment						
	Manual quantity amendment						
	Manual settlement currency amendment						
	Manual securities movement type amendment						
	Manual UTI amendment						
	Manual counterparty amendment						
	Manual client account no. amendment						
	Manual payment type amendment						
	<ul> <li>Please note Synapse will continue to update and reflect the status of the amended SI (but will not show the updated value of the fields). Manual amendment notifications will also be created under the following scenarios that are not related to the amendment of SI fields in CCASS:</li> <li>1) Field "97A SAFE" in the BUYR/SELL Block of the Sell-side SN prepared by EP exceed 15 characters (Limitation of CCASS for Client Account Number)</li> <li>2) CA conversion causing possible ISIN / quantity change of the SI</li> </ul>						

## List of Notifications:

Туре	Νο	Display Tag	When Display	Applicable User Type
Funds	1	[AM] updated fund status of [FUND NAME]. Effective on [EFFECTIVE DATE].	After AM/ AMO Checker approves the fund status amendment.	AM, AMOO, GC, LC
	2	Fund profile inactivation will be effective on [EFFECTIVE DATE].	One business day before the effective date of a fund profile inactivation.	AM, AMOO, GC, LC
	3	LC re-appointment of [FUND NAME] is completed. Effective	After LC Checker approves the amended fund profile.	GC, LC

Туре	No	Display Tag	When Display	Applicable User Type
		on [EFFECTIVE DATE].		
Accounts	1	[EP] updated account mapping status with [CP]. Effective on [EFFECTIVE DATE].	After EP/EPOO Checker approves the account mapping status.	EP, EPOO, CP, AO
	2	Account mapping inactivation will be effective on [EFFECTIVE DATE].	One business day before the effective date of the account mapping inactivation with [CP].	EP, EPOO, CP, AO
SIs	SIs 1 SI det XXXX ) is up CA co CCAS		After SI detail is updated due to CA conversion in CCASS at EOD.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
	2	Settlement Instruction (Trade ID: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	After Synapse consumed the cancellation SN from CTM.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
	3	Settlement Instruction (Trade ID: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	After Synapse checked the settlement status of this Settlement Instruction in CCASS and confirmed that the instruction is settled and no cancellation can be taken.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
CCASS Exceptions	1	Manual ISIN Amendment: [SI Number]	After the LC / CP amended the stock code of the unmatched / matched SI in CCASS.	LC, CP, AO
	2	Manual Quantity Amendment: [SI Number]	After the LC / CP amended the quantity of the unmatched / matched SI in CCASS.	LC, CP, AO
	3	Manual Settlement Currency	After the LC / CP amended the settlement currency of the	LC, CP, AO

Туре	Νο	Display Tag	When Display	Applicable User Type
		Amendment: [SI Number]	unmatched / matched SI in CCASS.	
	4	Manual Securities Movement Type Amendment: [SI Number]	After the LC / CP amended the instruction type of the unmatched / matched SI in CCASS.	LC, CP, AO
	5	Manual UTI Amendment: [SI Number]	After the LC / CP amended the processing reference of the unmatched / matched SI in CCASS.	LC, CP, AO
	6	Manual Counterparty Amendment: [SI Number]	After the LC / CP amended the counterparty of the unmatched / matched SI in CCASS.	LC, CP, AO
	7	Manual Client Account No. Amendment: [SI Number]	After the LC / CP amended the client account number of the unmatched / matched SI in CCASS.	LC, CP, AO
	8	Manual Payment Type Amendment: [SI Number]	After the LC / CP amended the payment instruction of the unmatched / matched SI in CCASS.	LC, CP, AO
	9	SI System Error "Code" +	When the following CCASS API error code is encountered:	LC, CP, AO
		"MESSAGE" : [SI Number]	2037: Counterparty invalid (cannot be the same participant as the created one)	
			2042: Settlement date must be before the delisted date of the stock	
			2044: Stock already delisted	
			2072: Settlement date must by on / after clearing admission date of stock	

Туре	Νο	Display Tag	When Display	Applicable User Type
			2090: Stock is not eligible to CCASS (Stock not yet admit)	
			3017: Counterparty not found	
			3041: Stock code not found	
			3063: Stock account not found	
			Above just list out the most common CCASS API error code, please contact HKEX separately if you encounter any codes not within the above list	
	10	STI System Error	When the following CCASS	LC, CP, AO
		"MESSAGE" : [STI Number]	3041: Stock code not found	
		-	3072: Transfer from A/C not found	
			3073: Transfer to A/C not found	
			Above just list out the most common CCASS API error code, please contact HKEX separately if you encounter any codes not within the above list	

# 5. Funds

# 5.1 Fund Onboarding

Fund Profile is required to be setup before Synapse creates the Settlement Instructions ("SIs") or Stock Segregated Account Transfer Instruction ("STIs") in CCASS of HKSCC. When a Fund is successfully onboarded, it will have one fund profile associated with it, and buy side users can create multiple Fund Profiles for a specific Fund onboarded in Synapse subject to its business needs.

To create a new Fund, AMs can start the self-service Fund onboarding process to onboard a single or multiple fund(s) by creating Fund Details and Fund Profile so Synapse can use it for creating the SIs or STIs in CCASS.

A Fund will be successfully onboarded when the AM, GC and LC have approved the fund submission. Each successfully onboarded fund automatically includes one fund profile. AMs can add additional fund profiles to each fund as needed.

#### 5.1.1 Asset Managers (AM)

#### Approval by AM Data Manager Input Only User; Approval by AM Data Manager Input Authorise User:



#### Approval by AM Data Manager Input Only User:

1. The AM Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

HKEX Synapse				🗖 23 August 2	022 (a) synuat011 synuat011
Dashboard S	ettlement Instructions	Funds	Relationships	Market Data	ACTING AS:
SHBOARD					Asset Manager
SETTLEMENT INSTRUCTION S		FUND PROFILE S + New F	Fund	NOTIFICATIONS	SYN User Role Type: Input-Only
0 Allocation Received 0 Processing in Synapse 0 Unmatched 0 Matched 0		O Awaiting AM Checker Approval O Awaiting GC Approval O Awaiting LC Approval		<ul> <li>Funds (0) PREVIEW •</li> <li>Participants (0) PREVIEW •</li> <li>Relationships (0) PREVIEW •</li> <li>CCASS Exceptions (0) PREVIEW •</li> </ul>	<ul> <li>Function 2: Transaction-Balances</li> <li>Rolo Type Input-Only</li> <li>Function 3: Data Manager</li> <li>Row Type Input-Only</li> <li>Ulogowt</li> </ul>
Settled O Cancelled				▲ SIs (0) PREVIEW	

2. On the Funds tab, the AM Data Manager Input Only User can see the Funds list view and can create a Fund using the "+ New Fund" button.

HKE)	K Synapse		S		E 23	3 August 2022 ③ synuat011 synuat011 🗸 🂢
	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
FUNDS	0 Awaiting AM C	O Checker Approval Awaiting GC Appro	O oval Awaiting LC Approva	al		Q Search Generate Report + New Fund
FUND ID A T	FUND NAME A T	GC NAME A T FUND ACCOUN	TATGC <sup>⊽</sup> ▼ IN\	VESTOR ID A T SPSA T	FUND EFFECTIVE DATE 4 T	AM A GC LC STATUS T

3. The AM Data Manager Input Only User will be asked to provide the Initial Fund Onboarding details. There will be 2 screens of information to submit. Then the AM Data Manager Input Only User will click "Submit".

HKEX Synapse		🗖 23 August 2022 🛞 synual011	l synuat011 🗸 🗙
lew Fund			Cancel Next
Ste	p 1/2 — Please provide the following Fund information:		
	FUND DETAILS		
	* Fund Name :	Fidelity Asia Fund 2679	
	Fund LEI :	549300N66LYETIGSH359	
	Fund Umbrella :	Fidelity Global Fund	
	Fund Domicile :	НК	
	* Fund ID :		
	Fund Alternate ID :		
	DEFAULT SETTLEMENT MODE :		
IKEX Synapse Power of Connectivity.		a 23 August 2022 ()) synuat011	l synuat011 🗸 💢
Fund			Cancel Nex
	Fund Domicile :	НК	
	* Fund ID :	342679	
	Fund Alternate ID :		
	DEFAULT SETTLEMENT MODE :		
	* Settlement Mode - Buy Trade :	DVP 🖕	
	* Settlement Mode - Sell Trade :	FOP 🕌	
	FUND PROFILE PROCESSING DETAILS :		
	- Fund Enecuve Usie :	2021-06-06	
EX Synapse		🗖 23 August 2022 ()) synuat0 11	j synuat011 → 🗙
la Ste	p 2/2 — Please provide the following information to create the fund's first Fund Pro	Cance	€ Back Submit
	GLOBAL CUSTODIAN DETAILS:		
	* GC BIC :	FIVCGB21XXX	
	* Fund Account at GC :	9004859	
	GC Name :	SynComp511	
	GC LEI :	222200N66LBBAAGSH888	
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	EVERE CUSTODIAN DETAILS.		
	I ≜Invasion ID -	200042	

HKEX Synapse		- 23 Augu	ist 2022 🕃 synuat011 synuat011 🗸 💢
New Fund			Cancel ← Back Submit
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	LOCAL CUSTODIAN DETAILS:		
	* Investor ID :		
	SP SA:	8000001	
	LC Name :	SynComp521	
	LC CCASS ID :	C00016	
	LC LEI :	621344ABC32JRTFGR421	
	LC BIC :	JMPPMJ55XXX	
	LC DN :	cn=invfunds,ou=80a,o=creschzz	

Note: The fund to be onboarded must not exist in Synapse in which semantic validation will be performed in specific fields that are marked as "Y" in the Contract Key column of the below table, otherwise the following error message will be shown when clicking "Submit". This is to ensure no duplicate fund can be created.

New Fund	▲The record already exist	Cancel ← Back Submit					
Step							
	GLOBAL CUSTODIAN DETAILS:						
	* GC BIC :	FIVCGB21XXX					
	* Fund Account at GC :	542654					
	GC Name :	SynComp511					
	GC LEI :	222200N66LBBAAGSH888					
	GC DN :	cn=invfunds,ou=80a,o=creschzz					

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
Fund Name	The Legal Entity name of the Fund	String	70	М	N/A	Y – For Fund Data
Fund LEI	Legal Entity Identifier for the Fund	String	20	0	N/A	N
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	0	Max 50 characters	Ν
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1-alpha-2 code	String	2	0	2 characters	N

Field Name	Description	Туре	Size	Mandatory or Optional	Syntax Validation	Contract Key* (Y/N)
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	M	N/A	Y – For Fund Data
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	0	N/A	N
Fund Account at GC	Account No. for Fund at GC	String	20	М	N/A	Y – For Fund Profile
Global Custodian BIC	BIC Code of GC. AM can only select a GC that has been onboarded	String	11	М	Min 8 characters; max 11 characters	N
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	М	3 characters	N
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	М	3 characters	Ν
Fund Effective Date	The date from which the fund is active on the system. The date input must be a future date Note: Actual Fund effective date depends on when the LC completes the fund's approval	Date	10	Μ	YYYY-MM-DD	N
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX Note: Synapse will populate the following fields based on the Investor ID: • SPSA Account #	String	6	M	N/A	N

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
	<ul> <li>LC Name</li> <li>LC CCASS Participant ID</li> <li>LC LEI</li> <li>LC BIC</li> <li>LC DN</li> </ul>					
	Note: Investor ID is also known as "SPSA ID" in CCASS Rules					

\*Note: Fields that are "Y" for the Contract Key column would be required for semantic validation. Synapse validates if the Contract Key value entered is not existing in Synapse onboarded fund, and the Contract Key fields would not be editable after submission (please refer to section 2.6 Edit Fund Details of an Active Fund for the fund edit descriptions). If there is more than one contract key field, the validation would be performed as a combination, i.e.:

- a. For Fund Data, the combination of Contract Keys (i.e. Fund Name + Fund ID) must not exist in the onboarded fund; and
- b. For Fund Profile (Refer to Section 5.2), the Contract Key (i.e. Account No. for Fund at Global Custodian) must not exist in the onboarded fund profile.
- 4. Once the AM Data Manager Input Only User submits the Initial Fund Onboarding details, then the AM Data Manager Input Only User will be brought back to the Funds List view. Under the AM column, the 'O' represents that the AM Data Manager Input Only User has submitted the input and that it is pending the AM Data Manager Input Authorise User to approve.

HKE The Powe	X Synapse				🖶 23 Aug	gust 2022 @ synuat011 synuat011 🗸 💢
	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
FUNDS	1 Awaiting AM Ch	O ecker Approval Awaiting GC Approv	0 val Awaiting LC Approval			Q Search Generate Report * New Fund
FUND ID 4 7	FUND NAME A T Fidelity Asia Fund 2679	GC NAME ** FUND ACCOUNT AT SynComp511 9004859	INVESTOR ID △ ▼ 300013	SPSA A T         FUND EFFECTIVE DATE A T           80000001         2021-06-06	AM A GC A LC A STA Pen	ATUS 4 T nding AM Checker Approval DETAILS >

5. The AM Data Manager Input Authorise User will be informed in two ways:
a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting AM Checker Approval"



b. Funds List view: increased counter under "Awaiting AM Checker Approval", changed icon from '—' to 'O' in the AM column, and changed status to "Pending AM Checker Approval"



#### Approval by AM Data Manager Input Authorise User:

- 1. The AM Data Manager Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. Once the AM Data Manager Input Only User has submitted the Initial Fund Onboarding details, the AM Data Manager Input Authorise User will be informed in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting AM Checker Approval"
  - b. Funds List view: increased counter under "Awaiting AM Checker Approval", changed icon from '—' to 'O' in the AM column, and changed status to "Pending AM Checker Approval"
- 3. The AM Data Manager Input Authorise User can navigate to the Fund Details view by clicking "Details" on the Funds List view.

4. The AM Data Manager Input Authorise User can review the fund details and click "Approve".

EX Synapse wer of Connectivity.				🛱 23 August 2022 🕃 synuat013 synuat013
boarding Details: FUND ID 342679				←Back to Fund List ×Reject
Onboarding Status:				× Datete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC:Pending	LC:Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
1			CLOBAL CUSTODIAN DETAILS.	
FUND DETAILS:			GEODAE CUSTODIAN DETAILS:	
			GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 2679		Fund Account at GC:	9004859
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH888
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:	HK		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	342679			
Fund Anternative ID (Optional).	342000		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	300013
Antilement Marker Dave Teacher	51.0		I C Name:	SynComp521
Settlement Mode - Buy Trade:	DVP		LC CCASSID:	C00016
Settlement mode - Sell Trade:	FOP		LC LEI:	621344ABC32JRTEGR421
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XXX
TOND THOME THOULD SING DETAILS.			LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-06		SPSA:	80000001

5. The fund is now created for GC processing, and the status of AM Data Manager Input Authorise User will be shown as "Approved." The fund will automatically have one initial fund profile associated with it.

parding Details: FUND ID 342679				←Bacl
Onboarding Status:				× Delete Fund Profile
AM Maker: Approved ~	AM Checker: Approved ~	GC:Pending	LC:Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
TOND DETAILS.			GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 2679		Fund Account at GC:	9004859
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH888
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:	HK		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	342679			
Fund Alternative ID (Optional):	342668			
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	300013
			LC Name:	SvoComp521
Settlement Mode - Buy Irade:	DVP		LC CCASS ID:	C00016
Settlement mode - Sell Trade:	FOP		LC LEF:	6213446BC32JRTEGR421
			LC BIC:	.IMPPM155XXX
FUND PROFILE PROCESSING DETAILS:			LC DN:	cn=invfunds ou=80a o=creschzi
Fund Effective Date:	2021.06.06		SPSA:	8000001

- 6. The GC Data Manager Input Only User will be informed that a fund onboarding is ready for their review in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting GC Maker Approval"
  - b. Funds List view: increased counter under "Awaiting GC Maker Approval", Funds List view changed icon from 'O' to '✓' in the AM column, and changed status to "AM Approved"

#### Rejection by AM Data Manager Input Authorise User:

1. When the AM Data Manager Input Authorise User wants to reject the fund details, they

must click "Reject". A text box appears for the AM Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.

arding Details: FUND ID 553182				←Back to Fund List ×Reject
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC: Pending	LC:Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp51
Fund Name:	Fidelity Asia Fund 3182		Fund Account at GC:	543182
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH88
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:	НК		GC DN:	cn=invfunds,ou=80a,o=creschz
Fund ID:	553182			
Fund Alternative ID (Optional):	11111		1	
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	30001
			LC Name:	SupComp52
Settlement Mode - Buy Trade:	DVP		LC CCASS ID:	C0001
Settlement Mode - Sell Trade:	DAA		LC LEI:	621344ABC32JRTFGR42
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XX
TOND PROTIEE PROCESSING DETAILS.			LC DN:	cn=invfunds.ou=80a.o=creschz
Fund Effective Date:	2021.06.05		SP SA:	800000

2. Then the AM Data Manager Input Authorise User must provide the rejection reasons by clicking "Submit" and then reject the fund details by clicking "Reject".

HKEX Synapse The Power of Connectivity.				m 26 August 2022 🕲 synuat003 synuat003 🗸 💢
Initial Onboarding Details: FUND ID 553182				←Back to Fund List ×Reject ✓Approve
	FUND ONBOARDING REJECTION:			
Onboarding Status:	Discourse and a second balance			× Delete Fund Creation
AM Maker: Approved ~	Please provide a comment below:			Status: Inactive
FUND DETAILS				
	Comment			
FUND DETAILS:				
Fund Names				SynComp511
Fund LEI:				543182
Fund Umbrella:				222200N66LBBAAGSH889
Fund Domicile:				cn=invfunds.ou=80a.o=cresch77
Fund ID:				
Fund Alternative ID (Optional):			Cancel Submit	
DEFAULT SETTLEMENT MODE:				200042
Cottlement Made Drug Tender				SynComp521
Settlement Mode - Sell Trade:				C00016
				621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAIL				JMPPMJ55XXX
		LC DN:		cn=invfunds,ou=80a,o=creschzz
Fund Effective Date:	2021-06-05	SPSA:		8000001

HKEX Synapse The Power of Connectivity.				26 August 2022 @ synuat003 synuat003 🗸 💢
Initial Onboarding Details: FUND ID 553182				+Back to Fund List ×Reject
	FUND ONBOARDING REJECTION:			
Onboarding Status:	Please provide a comment below:			Status: Inactive
FUND DETAILS				
	Reason to reject			
FUND DETAILS:				SynComp511
Fund Name:				543182
Fund LEI:				222200N66LBBAAGSH889
Fund Ombrella:				FIVCGB21XXX
Fund Domicile:				cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):			Cancel Submit	
DEFAULT SETTLEMENT MODE:				
				300013
Settlement Mode - Buy Trade:				SynComp521
' Settlement Mode - Sell Trade:				6213444BC32JRTEGR421
				JMPPMJ55XXX
		LC DN:		cn=invfunds,ou=80a,o=creschzz
Fund Effective Date:	2021-06-05	SP SA:		8000001

- 3. The AM Data Manager Input Only User will be informed that the AM Data Manager Input Authorise User has rejected the fund details in one way:
  - a. Funds List view: changed icon from 'O' to '—' in the AM column on the Funds List view and changed status to "AM Checker Rejected"

HKEX The Power of	Synapse Connectivity. Dashboard	Settlement	nstructions	Funds		Relationships	м	arket [	⊟ 2 Data	6 August 2022 ② synuat001 synuat Reports	DO1 - 🗙
FUNDS	3 Awaiting AM Ch	ecker Approval	1 Awaiting GC Approval Awa	iting LC Approval						Q Search Generate Report	+ New Fund
FUND ID A 🔻	FUND NAME A T	GC NAME A 🔻	FUND ACCOUNT AT GC V V	INVESTOR ID A T	SPSA 🌣 🔻	FUND EFFECTIVE DATE	AM ^	GC △	LC ^	STATUS A 🔻	
555555	Fidelity Asia Fund	SynComp511	552194	600002	8000002	2021-06-05	~	× .	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	× .	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	× .	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	1	•	LC Maker Approved	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	-	-	-	AM Checker Rejected	
553181	Fidelity Asia Fund 3181	SynComp511	543181	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	~	× .	~	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	~	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	~	~	~	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	~	× .	~	Active	DETAILS
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	× .	× .	Active	DETAILS

4. The AM Data Manager Input Only User can navigate to the Fund Details view by clicking "Details" on the Funds List view.

arding Details: FUND ID 553182			←Back
Onboarding Status:			$\times$ Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected ×	GC:Pending LC:Pending	Status: Inactive
FUND DETAILS	✓ Edt	FUND PROFILE 1 DETAILS	✓ Edit
FUND DETAIL S:		GLOBAL CUSTODIAN DETAILS:	
		GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 3182	Fund Account at GC:	543182
Fund LEI:	549300N66LYETIGSH359	GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Global Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:	HK	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	553182		
Fund Alternative ID (Optional):	11111		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Settlement Mode Buy Trades	DVB	LC Name:	SynComp521
Settlement Mode - Sell Trade	DVP	LC CCASS ID:	C00016
orthonic mode of thirdu	541	LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Effective Date:	2021-06-05	SP SA:	8000001

5. The fund has been rejected by the AM Data Manager Input Authorise User, and the AM Data Manager Input Only User can click "Edit" to edit specific fields based on the AM Data Manager Input Authorise User's comments for re-submission.

KEX Synapse			🖶 26 August 2022 @ synuat001 synuat001 🗸
Onboarding Details: FUND ID 553182			←Back to Fun
Onboarding Status:			× Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × •	GC:Pending LC:Pending	Status: Inactive
FUND DETAILS	Comment:	FUND PROFILE 1 DETAILS	🖌 Edt
FUND DETAILS:	Reason to reject	GLOBAL CUSTODIAN DETAILS:	
Fund Name:	Fidelity Asia	GC Name:	SynComp511
Fund LEI:	549300N66LVE	Fund Account at GC:	543182
Fund Umbrella:	Fidelity Global Fund	GC LEI:	222200N66LBBAAGSH889
Fund Domicile:	HK	GC BIC:	FIVCGB21XXX
Fund ID:	553182	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	777777		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Sottlement Mede Ruy Trades	DVP	LC Name:	SynComp521
Settlement Mode - Sell Trade:	DVP	LC CCASS ID:	C00016
Gotternent mode - gell filder	DVP	LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Effective Date:	2021-06-05	SP SA:	8000001

6. After editing specific fields, the AM Data Manager Input Only User can re-submit the fund for the AM Data Manager Input Authorise User's review by clicking "Submit".

HKEX Synapse The Power of Connectivity.		🗂 26 August 2022 @ synuat001 synuat001 🗸 🗙	
Initial Onboarding Details: FUND ID 553	1182	Cancel Next	
	Fund Domicile :	НК	
	* Fund ID :	553182	
	Fund Alternate ID :		
	DEFAULT SETTLEMENT MODE :		İ.
	* Settlement Mode - Buy Trade :	DVP 🖕	L
	* Settlement Mode - Sell Trade :	DVP .	L
	FUND PROFILE PROCESSING DETAILS :		
	* Fund Effective Date :	2021-06-05	
			L

HKEX Synapse		🗎 26 August 2022 🕲 synuat001 synuat001 🗸	X
Initial Onboarding Details: FUND ID 5	53182	Cancel	ubmit
Ste	p 2/2 — Please provide the following information to create the fund's first Fund Profile GLOBAL CUSTODIAN DETAILS:	:	
	* GC BIC :	FIVCGB21XXX	
	* Fund Account at GC :	543181	
	GC Name :	SynComp511	
	GC LEI :	222200N66LBBAAGSH889	
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	LOCAL CUSTODIAN DETAILS:		
	* Investor ID •	300043	

arding Details: FUND ID 553182				←Bac
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC: Pending	LC: Pending	Status: Inactive
	3 11		EUND PROFILE 1 DETAILS	
TOND DETAILS			TOND TROTIES TOETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp5*
Fund Name:	Fidelity Asia Fund 3182		Fund Account at GC:	54318
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH88
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XX
Fund Domicile:	нк		GC DN:	cn=invfunds,ou=80a,o=cresch;
Fund ID:	553182			
Fund Alternative ID (Optional):	711111		1	
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	30001
Sattlement Mode, Ruy Trades	D\/P		LC Name:	SynComp52
Settlement Mode Sell Trade	EOP		LC CCASS ID:	C0001
Settlement mode - Sen Hude.	101		LC LEI:	621344ABC32JRTFGR42
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XX
			LC DN:	cn=invfunds.ou=80a.o=cresch:
Fund Effective Date:	2021.06.05		SPSA:	800000

7. The AM Data Manager Input Authorise User can confirm that the updated fields resubmitted by AM Data Manager Input Only User by looking at the Fund Details view and "Approve".

#### 5.1.2 Global Custodians (GC)

#### Approval by GC Data Manager Input Only User; Approval by GC Data Manager Input Authorise User: AM Data GC Data LC Data Manager Manager Input Manager Input Input Only User Only User and Only User and Fund is and Data Data Manager Data Manager successfully Manager Input Input Authorise Input Authorise onboarded to Authorise User User both User both Synapse both approved approved fund approved fund fund onboarding onboarding onboarding

#### Approval by GC Data Manager Input Only User:

- 1. The GC Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The GC Data Manager Input Only User will be informed that the AM has successfully submitted a fund in two ways:
  - a. Dashboard view: increased counter in Fund Profiles section under "Awaiting GC Maker Approval"

- b. Funds List view: increased counter under "Awaiting GC Maker Approval", changed icon from '—' to '✓' in the AM column, a '—' icon in the GC column, and a changed status to "AM Approved"
- 3. The GC Data Manager Input Only User can navigate to the Fund Details view by clicking "Details" on the Funds List view.
- 4. On the GC Data Manager Input Only User's Fund Details page view, they must enter the "GC's Account at LC" field before hitting "Submit for Approval".

				🗎 23 August 2022 ④ synuat071 synuat071 🗸
tial Onboarding Details: FUND ID 342	679			← Back to Fund List × Reject → Submit For App
Onboarding Status:				
AM: Approved ~	▲ GC Maker: Pending Submission	GC Checker: Pending	LC:Pendin	g Status: Inactive
FUND DETAILS		FUND	PROFILE 1 DETAILS	S
FUND DETAILS:		GLOB	AL CUSTODIAN DETAILS	8
Fund Name:	Eidelity Asia Fund 2679	GC N	ime:	SvnComn511
Fund I El:	549300N66I VETICSH359	Fund	Account at GC:	000/1850
Fund Umbrollou	Eidelity Clobal Euro	CCL	a de la de	222200NGCI PRAACCH282
Fund Demisiter	Fidelity Global Fund	GCL		222200N00LDDAAG3H000
Fund Domicile:		GC DI		FIVUGBZIXXX
Fund ID:	342679	GC D	N:	cn=invtunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	342668	🔺 G	C's Account at LC:	To approve fund onboarding, provide the GC's account at the LC.
DEFAULT SETTLEMENT MODE:	4			
Settlement Mode - Buy Trade:	DVP	LOCAL	CUSTODIAN DETAILS:	
Settlement Mode - Sell Trade:	FOP			
		Inves	tor ID:	300013
		LC Na	me:	SynComp521
TOND FROME FROCESSING E	JETAIE3.	LC CC	ASSID:	C00016
		ICLE	l:	621344ABC32JRTEGR421
HKEX Synapse				🚍 23 August 2022 🛞 synuat071 synuat071 🗸
HKEX Synapse he Power of Connectivity. ial Onboarding Detailis: FUND ID 3420	573			E 23 August 2022 ⊕ synuat071 synuat071 √ ← Back to Fund List ×Reject ✓ Submit For App
IKEX Synapse he Power of Connectivity. iail Onboarding Details: FUND ID 3420 Onboarding Status:	679			E 23 August 2022 ⊕ synust071 synus1071 → ≪Beck to Fund List ×Reject ✓ Submit For App
IKEX Synapse e Power of Connectivity. al Onboarding Details: FUND ID 3420 Onboarding Status: AMt.Approved~	579	GC Checker:Pending	LC:Pendin	23 August 2022 @ synuat071 synuat071   *Back to Fund List  Reject  Submit For App  Status:inactive
IKEX Synapse e Power of Connectivity. al Onboarding Details: FUND ID 3420 Onboarding Status: AM:Approved ~ FUND DETAILS	679 AGC Maker: Pending Submission	GC Checker:Pending FUND	LC:Pendin PROFILE 1 DETAILS	23 August 2022 @ synuat071 synuat071      Submit For App      Status:Inactive
IKEX Synapse the Power of Connectivity. al Onboarding Details: FUND ID 3420 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS:	679 AGC Maker: Pending Submission	GC Checker:Pending FUND GLOBJ	LC:Pendin PROFILE 1 DETAILS	23 August 2022 @ synuat071 synuat071   CBack to Fund List  Compared
IKEX Synapse le Power of Connectivity. Ial Onboarding Details: FUND ID 3420 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: End Mane:	679 A GC Maker: Pending Submission	GC Checker:Pending FUND	LC: Pendin PROFILE 1 DETAILS	Carl 23 August 2022 (a) synuat071 synuat071 v  Carl 23 August 2022 (a) synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat071 synuat071 synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat071 synuat071 v  Carl 24 August 2022 (a) synuat071 synuat07
IKEX Synapse te Power of Connectivity. al Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Prior Name:	679 AGC Maker: Pending Submission	GC Checker: Pending FUND GLOBA	LC:Pendin PROFILE 1 DETAILS	Carlot Status: Inactive S S SynComp51
IKEX Synapse te Power of Connectivity. Ial Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: FUND DETAILS:	679 A GC Maker: Pending Submission	GC Checker:Pending FUND GLOBA GLOBA GLOBA	LC: Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ime: Account at GC:	Classical Content of Syncards and SynCompS11     SynCompS1     SynCompS
IKEX Synapse te Power of Connectivity. al Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Mame: Fund Mam	679 AGC Maker: Pending Submission Fidelity Asia Fund 2679 549300Hild LT ETICISTISS Fidelity (Scali Fund 9 Fidelity (Scali Fund	GC Checker:Pending FUND GC 02 GC N Fund GC N Fund GC N	LC:Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ume: Account at GC:	23 August 2022 @ synuat071 synuat071     Submit For App      Status: Inactive      SynComp511     900459     222200146ELBAACSH888
IKEX Synapse e Power of Connectivity. al Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS FUND DETAILS: Fund Name: Fund LEI Fund Umbrelia: Fund Omcilie:	679 AGC Maker: Pending Submission Fidelity Asia Fund 2679 549300HieELYETICSH359 Fidelity Sicoal Fund HK	GC Checker:Pending FUND GLOB GC N. FUND GC N. GC N. GC N. GC N.	LC: Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ame: Account at GC: 3: C:	C 23 August 2022 @ synuat071 synuat071 √
IKEX Synapse te Power of Connectivity. al Onboarding Details: FUND ID 342 Onboarding Status: Mit opproved / FUND DETAILS FUND DETAILS Fund Name: Fund Mame: Fund Unbrells: Fund Unbrells: Fund Derivel: Fund	579 A GC Maker: Pending Submission Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 S49300468LYETICS3139 Fidelity Asia Fund 2679 S49300468LYETICS3139 Fidelity Asia Fund 2679 S40300468LYETICS3139 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 S40300468LYETICS3139 Fidelity Asia Fund 2679 Fidelity As	GC Checker: Pending FUND GLOB. GC N. GC N. GC N. GC N. GC GC N. GC D.	LC:Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ime: Account at GC: 3: 4:	C 23 August 2022
IKEX Synapse te Power of Connectivity. Id Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund DeTAILS: Fund Name: Fund Unbriells: Fund Unbriells: Fund ID: Fund Alternative ID (Optional):	679 ▲GC Maker: Pending Submission Fidelity Akia Fund 2679 S43900KeL/2TIIC63139 Fidelity Gkala Fund HK 342658	GC Checker:Pending FUND GC Co. GC N. GC N. GC N. GC N. GC D. GC D. G	LC: Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS Account at GC: A: 4: C: C: 4: C: C: A: C: A: C: A: C: C: A: C: C: C: C: C: C: C: C: C: C: C: C: C:	Constraints of the SCP accessible     Constraints of the SCP accessible     SynComp511     SynComp51     SynComp51     SynComp511     SynComp51     SynComp51     Syn
IKEX Synapse the Power of Connactivity. Ital Onboarding Details: FUND 10 342 Onboarding Status: Ark:opproved / FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND Morella: FUND Unbrella: FUND Unbrella: FUND Unbrella: FUND Unbrella: FUND Unbrella: FUND Unbrella: FUND Unbrella: FUND Unbrella: FUND Unbrella: FUND DETAULT SETLEMENT MODE: DEFAULT SETLEMENT MODE:	579 AGC Maker: Pending Submission Fidelity Asia Fund 2679 543900H6L YETHIGS1359 Fidelity Asia Fund 2679 543900H6L YETHIGS1359 Fidelity Asia Fund 2679 342658	GC Checker: Pending FUND GLOB. GC N. GC N. GC N. GC N. GC N. GC D. GC D.	LC:Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ame: Account at GC: 3: 4: 4: C' & Account at LC:	23 August 2022 (* synuat071 synuat071     *Beck to Fund List × Reject × submit For App        Status:inactive      SynComp511     900459     222201466LBAR0451888     FIVC6821488     FIVC6821488     To approve fund onbearding, provide the GC's account at the LC.     To approve fund onbearding, provide the GC's account at the LC.     To 25194
HKEX Synapse he Power of Connectivity. tial Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS: FUND DETAILS: Fund Name: Fund Demcella: Fund Name: Fund LEI: Fund Name: Fund LEI: Fund Name: Fund LEI: Fund Name: Fund LEI: Fund Name: Fund Name: Fun	579 A GC Maker: Pending Submission Pidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fidelity Global Fund Fidelity Global Fund	GC Checker:Pending FUND GLOBA GC N Find GC D GC D CC D CC D CC D CC D CC D CC D	LC: Pendim PROFILE 1 DETAILS AL CUSTODIAN DETAILS in: Account at GC: 1: 1: C: C'S Account at LC: C'S Account at LC:	C 23 August 2022
HKEX Synapse he Power of Connactivity. all Onboarding Details: FUND 1D 342 Onboarding Status: Aik:opproved / FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Name: Fund Unbrells: Fund Unbrells: Fund Unbrells: Fund Onenielle: Fund DetrAult SETLEMENT MODE: Settlement Mode - Buy Trade:	579 AGC Maker: Pending Submission Fidelity Asia Fund 2679 S43900H6L/TETIGS1359 Fidelity Asia Fund 2679 S43900H6L/TETIGS1359 Fidelity Asia Fund 2679 S42895 S42895 342685 DVP	GC Checker: Pending FUND GLOB. GC N. GC N. GC N. GC D. GC D.	LC:Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ime: Account at GC: 3: 4: C'\$ Account at LC: C'\$ Account at LC:	23 August 2022
HKEX Synapse he Power of Connectivity. ial Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS FUND DETAILS Fund Nomeile: Fund Indeneile: Fund ID demiele: Fund ID demiele: Settlement Mode - Buy Trade: Settlement Mode - Buy Trade:	579 A GC Maker: Pending Submission Fidelity Akas Fund 2019 S49300H6EL/CETIGS1359 Fidelity Clobal Fund HK 342679 342689 DVP FOP	GC Checker:Pending FUND GLOB GC N GC N GC D GC D GC D GC D LOCAL	LC: Pendin PROFILE 1 DETAILS NL CUSTODIAN DETAILS In: Account at GC: In: C: C: Account at LC: C's Account at LC: C's Account at LC: C's OTION DETAILS:	23 August 2022 @ synuat071 synuat071 √
HKEX Synapse he Power of Connectivity. ial Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Name: Fund Name: Fund Unbrells: Fund Unbrells: Fund Unbrells: Fund Atternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Say Trade:	579 A GC Maker: Pending Submission Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 S42000HBLYETICS3139 Fidelity Asia Fund 2679 S4200HBLYETICS3139 Fidelity Asia Fund 2679 Fidelity Fidelity Asia Fund 2679 Fidelity Fidelity Fidelity Asia Fund 2679 Fidelity Fidelity Fid	GC Checker:Pending FUND GLOBA GC N GC N GC N GC N GC N GC N GC N GC N	LC: Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ALCUSTODIAN DETAILS C: C: C: Account at CC: C: Account at LC: C'S Account at LC: C'S Account at LC: C'S Account at LC: C'S Account at LC:	23 August 2022
IKEX Synapse he Power of Connectivity. ial Onboarding Details: FUND 1D 342 Onboarding Details: FUND 1D 342 Alt: Approved ~ FUND DETAILS FUND DETAILS Fund DETAILS Fund Detrails: Fund Detrails: Settlement Mode - But Trade: Settlement Mode - But Trade:	579 AGC Maker: Pending Submission Fidelity Asia Fund 2679 S49300H6LYETIGSH358 Fidelity Global Fund Fidelity Global Fund Fi	GC Checker: Pending FUND GLOBA GC N GC D GC D GC D GC D GC D GC D GC D GC D	LC:Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS ALCUSTODIAN AGC: 12: C's Account at LC: C's Account at LC: LCUSTODIAN DETAILS: tor ID: mere n	23 August 2022 @ synuat071 synuat071      Submit For App      Satus: inactive      S
HKEX Synapse he Power of Connectivity. iiil Onboarding Details: FUND ID 342 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Name: Fund Name: Fund Unbrells: Fund Unbrells: Fund Alternative ID (Optional): Settlement Mode - Buy Trade: Settlement Mode - Buy Trade:	579 A GC Maker: Pending Submission Fidelity Asia Fund 2679 S43900KBLYETIKS3139 Fidelity Asia Fund 2679 S42858 Fidelity Asia Fund 2679 Fidelity Asia Fund 2679 Fideli	GC Checker:Pending FUND GLOB. GC N. GC N. GC N. CCN. C	LC: Pendin PROFILE 1 DETAILS AL CUSTODIAN DETAILS LL CUSTODIAN DETAILS C: 4: C: C's Account at LC: LCUSTODIAN DETAILS: tor ID: me: ASS ID:	23 August 2022 (*) synual071 synual071     Submit For App      Status:inactive      SynComp511     900459     2222001658 IBAA.054688     FV/C0B21/XXX     On-Infinding our-90a creativiz      To approve fund onboarding, provide the GC's account at the LC.     752194      300013     SynComp521     C00016

EX Synapse wer of Connectivity.					🖶 23 August 2022 ④ synuat071 synuat071
nboarding Details: FUND ID 34267	9				←Back to
Onboarding Status:					
AM: Approved ~	GC Maker: Approved -	▲GC Checker: Pendin	g Approval	LC: Pending	Status: Inactive
FUND DETAILS			FUND PROFIL	E 1 DETAILS	
FUND DETAIL S:			GLOBAL CUSTO	DIAN DETAILS:	
			GC Name:		SynComp511
Fund Name:		Fidelity Asia Fund 2679	Fund Account a	t GC:	9004859
Fund LEI:		549300N66LYETIGSH359	GC LEI:		222200N66LBBAAGSH888
Fund Umbrella:		Fidelity Global Fund	GC BIC:		FIVCGB21XXX
Fund Domicile:		HK	GC DN:		cn=invfunds,ou=80a,o=creschzz
Fund ID:		342679	GC's Account at	t LC:	752194
Fund Alternative ID (Optional):		342668			
DEFAULT SETTLEMENT MODE:			LOCAL CUSTOD	IAN DETAILS:	
Settlement Mode - Buy Trade:		DVP	Investor ID:		300013
Settlement Mode - Sell Trade:		FOP	LC Name:		SynComp521
			LC CCASS ID:		C00016
FUND PROFILE PROCESSING DET	TAILS:		LC LEI:		621344ABC32JRTFGR421
			LC BIC:		JMPPMJ55XXX
Fund Effective Date:		2021-06-06	LC DN:		cn=invfunds.ou=80a.o=creschzz

## Fields inputted by AM for GC's reference:

Field Name	Description	Туре	Size	Mandatory or Optional	Syntax Validation
Fund Profile Onboarding Status	Indicates the current status of the Fund Profile Onboarding Workflow	String	20	N/A	N/A
Fund Name	The Legal Entity name of the Fund	String	70	N/A	N/A
Fund LEI	Legal Entity Identifier for the Fund	String	20	N/A	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	N/A	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1- alpha-2 code	String	2	N/A	2 characters
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	N/A	3 characters
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	N/A	3 characters
Fund Effective Date	and       The date from which the fund is         ifective       active on the system.         ate       Note: An indicative date will be         input by the AM, and the actual         Fund effective date depends on         when the LC completes the fund's		20	N/A	YYYY-MM- DD
Global Custodian Name	The Legal Entity name of the GC	String	70	N/A	N/A
Fund Account at Global Custodian	Account No. for Fund at GC	String	20	N/A	N/A
Global Custodian LEI	Legal Entity Identifier for GC	String	20	N/A	N/A
Global Custodian BIC	BIC Code for GC	String	11	N/A	N/A
Global Custodian DN	DN Code for GC	String	52	N/A	Min 8 characters

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
Local Custodian Name	The Legal Entity name of LC	String	70	N/A	N/A
Local Custodian CCASS Participant ID	CCASS Participant ID of LC	String	6	N/A	6 characters
Local Custodian LEI	Legal Entity Identifier for LC	String	20	N/A	N/A
Local Custodian BIC	BIC Code for LC	String	11	N/A	N/A
Local Custodian DN	DN Code of LC	String	52	N/A	N/A
SPSA	SPSA Account No. for Investor ID	Integer	8	N/A	8 characters

Field input by GC Data Manager Input Only User

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
GC's	GC Account No.	String	15	Μ	N/A
Account at	at LC for the				
LC	Fund of the trade				

#### Approval by GC Data Manager Input Authorise User:

- 1. The GC Data Manager Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The GC Data Manager Input Authorise User will be informed that the GC Data Manager Input Only User has successfully added the "GC's Account at LC" field in two ways:
  - a. Dashboard view: increased counter in Fund Profiles section under "Awaiting GC Checker Approval"

<b>H</b> The F	<b>(EX Synapse</b> Power of Connectivity.				🗎 23 August 20	022 🕃 synuat073 synuat073 🗸	X
	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
DAS	HBOARD						
	SETTLEMENT INSTRUCTION	ONS®	FUND PROFILES®		NOTIFICATIONS		
	15 Allocation Received		O Awaiting GC Maker Approval		Funds (13) PREVIEW -		
	3 Processing in Synapse		1 Awaiting GC Checker Approv	ral	♠ Participants (0) PREVIEW		
	1 Unmatched		O Awaiting LC Approval		▲ Relationships (0) PREVIEW		
	0 Matched				CCASS Exceptions (0)		
	9 Settled				SIS (168)		
	2 Cancelled						

b. Funds List view: increased counter under "Awaiting GC Checker Approval", changed icon from '—' to '√' in the AM column, changed icon from '—' to 'O' in the GC column, and changed status to "GC Maker Approved"

HKE The Power	X Synapse r of Connectivity. Dashboard	Settlement Instructions	Funds	Relationships	a 23 Market Data	3 August 2022 @ symuat073 symuat073 🤟 🏋 Reports
FUNDS	<b>O</b> Awaiting G	1 iC Maker Approval Awaiting GC Checke	O r Approval Awaiting LC A	Approval		Q Search Generate Report
FUND ID ^ 1	<ul> <li>FUND MARE <sup>5</sup> Fidelity Asia Fund 2579</li> </ul>	FUND ACCOUNT AT GC ** AM NAME * 9004899 SynComp502	GC'S ACCOUNT AT LC * 7 752194	LC NAME <sup>5</sup> TINVESTOR ID <sup>4</sup> SP SynComp521 300013 60	PSA * ▼ FUND EFFECTIVE DATE * ▼ .	AM ^ GC ^ LC ^ STATUS ^ 7

- 3. The GC Data Manager Input Authorise User can navigate to the Fund Details view by clicking "Details" on the Funds List view.
- 4. On the GC Data Manager Input Authorise User's Fund Details page view, they can review the details and approve the fund by clicking the "Approve" button.

<b>EX Synapse</b> Power of Connectivity.					🗖 23 August 2022 ④ synuat073 synuat073
Onboarding Details: FUND ID 34267	9				← Back to Fund List × Reject
Onboarding Status:					
AM: Approved ~	GC Maker: Approved ~	▲GC Checker:Pend	ng Approval	LC:Pending	Status: Inactive
EUND DETAILS			E F	UND PROFILE 1 DETAILS	
FUND DETAILS:				GLOBAL CUSTODIAN DETAILS:	
				GC Name:	SynComp511
Fund Name:		Fidelity Asia Fund 2679		Fund Account at GC:	9004859
Fund LEI:		549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH888
Fund Umbrella:		Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:		HK		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:		342679		GC's Account at LC:	752194
Fund Alternative ID (Optional):		342668	1		
DEFAULT SETTLEMENT MODE:				LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP		Investor ID:	300013
Settlement Mode - Sell Trade:		FOP		LC Name:	SynComp521
				LC CCASS ID:	C00016
FUND PROFILE PROCESSING DET	AILS:			LC LEI:	621344ABC32JRTFGR421
				LC BIC:	JMPPMJ55XXX
Fund Effective Date:		2021-06-06		LC DN:	cn=invfunds,ou=80a,o=creschzz

5. After GC Data Manager Input Authorise User clicks "Approve" button:

ooarding Details: FUND ID 342679					
Onhoarding Status:					
AM: Approved ~	GC Maker: Approved -	GC Checker: Ap	proved ~	LC: Pending	Status: Inactive
EUND DETAILS				FUND PROFILE 1 DETAILS	
FUND DETAILS:				GLOBAL CUSTODIAN DETAILS:	
				GC Name:	SvnComp51
Fund Name:		Fidelity Asia Fund 2679		Fund Account at GC:	900485
Fund LEI:	1	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH88
Fund Umbrella:		Fidelity Global Fund		GC BIC:	FIVCGB21XX
Fund Domicile:		HK		GC DN:	cn=invfunds.ou=80a.o=creschz
Fund ID:		342679		GC's Account at LC:	75219
Fund Alternative ID (Optional):		342668			
DEFAULT SETTLEMENT MODE:				LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP		Investor ID:	30001
Settlement Mode - Sell Trade:		FOP		LC Name:	SynComp52
				LC CCASS ID:	C0001
FUND PROFILE PROCESSING DETAILS:				LC LEI:	621344ABC32JRTFGR42
				LC BIC:	JMPPMJ55XX
Fund Effective Date:		2021-06-06		LC DN:	co-invfunds ou=80a o=crescha

#### Rejection by GC Data Manager Input Only User; Rejection by GC Data Manager Input Authorise User Back to AM:

For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the GC Data Manager Input Only User rejects the fund and the GC Data Manager Input Authorise User agrees with the GC Data Manager Input Only User's rejection, the GC Data Manager Input Authorise User can reject back to the AM.



#### **Rejection by GC Data Manager Input Only User:**

1. When the GC Data Manager Input Only User wants to reject the fund, they must click "Reject". A text box appears for the GC Data Manager Input Only User to provide reason(s) for rejection in the form of freeform text.

Onboarding Details: FUND ID 553182				← Back to Fund List × Reject ✓ Su	ubmit For A
Onboarding Status:					
AM: Approved -	GC Maker: Pending Submission	GC Checker: Pending	. LC:Pendi	ng Status: Inactive	
FUND DETAILS			FUND PROFILE 1 DETAIL	_\$	
FUND DETAILS:			GLOBAL CUSTODIAN DETAIL	S:	
Fund Name:	Fidelity Asia Fund 318	2	GC Name:	SynCom	mp511
Fund LEI:	549300N66LYETIGSH35	9	Fund Account at GC:	54	43182
Fund Umbrella:	Fidelity Global Fun	1	GC LEI:	222200N66LBBAAGSH	SH889
Fund Domicile:	H	<	GC BIC:	FIVCGB21	21XXX
Fund ID:	55318	2	GC DN:	Cn=invtunds,ou=808,o=cres	el C
Fund Alternative to (Optional):			GC's Account at LC:		
DEFAULT SETTLEMENT MODE:					
Settlement Mode - Buy Trade:	DV	>	LOCAL CUSTODIAN DETAILS	:	
Settlement Mode - Sell Trade:	FO	2	Investor ID:	30	00013
			LC Name:	SynCom	mp521
FUND PROFILE PROCESSING DETAILS	5:		LC CCASS ID:	C0	00016
Fund Effective Date:	2021-06-0		LC LEI:	621344ABC32JRTFGF	GR421
(EX Synapse					
KEX Synapse				m 26 August 2022 இ synuat071 s	synuat071
CEX Synapse Power of Connectivity. Onboarding Details: FUND ID 553182				● 26 August 2022 () synuat071 s < Partk to Fund List × Reject	synuat071 Submit Fo
<b>KEX Synapse</b> ower of Connectivity. Onboarding Details: FUND ID 553182	FUND ONBOARDING REJECTION:			en 26 August 2022 ⊕ synuat071 s ← Back to Fund List × Reject @	synuat071 'Submit Fe
<b>CEX Synapse</b> Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status:	FUND ONBOARDING REJECTION: Please provide a comment below:			t 26 August 2022 ⊕ synuat071 s ← Back to Fund Liss × Reject	synuat071 - Submit Fo
REX Synapse Power of Connectivity. Onboarding Details: FUND ID 553182	FUND ONBOARDING REJECTION: Please provide a comment below:			<ul> <li>☐ 26 August 2022 (3) synuat071 s</li> <li>&lt; Back to Fand 1 iss × Reject</li> <li>Status:tnactive</li> </ul>	synuat071 - Submit Fo
CEX Synapse Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved~ FUND DETAILS	FUND ONBOARDING REJECTION: Please provide a comment below.			E 26 August 2022 (a) synual071 s ← Burk to Fund List × Reject  Status:Inactive	synuat071 /Submit Fo
Very of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AN:Approved - FUND DETAILS FUND DETAILS	FUND ONBOARDING REJECTION: Please provide a comment below: Change effective date				synuat071 /Submit Fo
CEX Synapse Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved - FUND DETAILS FUND DETAILS:	FUND ONBOARDING REJECTION: Please provide a comment below. Change effective date			26 August 2022 ④ synuat071 s     ≪ Back to Faind Liss × Reject      Status:Inactive	synuat071 / Submit Fo
CEX Synapse Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS: Fund Name:	FUND ONBOARDING REJECTION: Please provide a comment below: Change effective date	2		<ul> <li>■ 26 August 2022 (a) synuat071 s</li> <li>← Reject to Fund List × Reject</li> <li>Status:Inactive</li> </ul>	synuat071 Submit Fo
CEX Synapse ower of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AR:Approved ~ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund LE:	FUND ONBOARDING REJECTION: Please provide a comment below: Change effective date			26 August 2022 ④ synuat071 s 	synuat071 Submit For Comp511 543162
CEX Synapse Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved FUND DETAILS FUND DETAILS: Fund Name: Fund Vame: Fund Vame: Fund Vame:	FUND ONBOARDING REJECTION: Please provide a comment below: Change effective date			26 August 2022 (a) synuat071 s     • Beck to Fund List × Reject      Status:Inactive      SynCe     222200166EBE9AA	synuat071 Subent Fo Somp511 543182 GSH889 Boarwar
CEX Synapse Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AR: Approved -> FUND DETAILS: FUND DETAILS: Fund Name: Fund LE: Fund Name: Fund Details: Fund Details:	FUND ONBOARDING REJECTION: Please provide a comment below: Change effective date	2		26 August 2022 ④ synual071 s 	synual071 Submit Fo Jomp511 543162 GSH889 B21XXX
CEX Synapse Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS FUND DETAILS: Fund Name: Fund LE: Fund Unbrella: Fund Domicile: Fund Domicile: Fund Domicile: Fund Directive ID (Cotional);	FUND ONBOARDING REJECTION: Please provide a comment below. Change effective date			26 August 2022 (a) symuator 1 s  C Back to Fund Liss Reject  Status:Inactive  Status:Inactive  Sympto  C 222000H66LBBAAG  FUNDS  UNDS FU	Synual071
CEX Synapse Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Name: Fund Dimbrels: Fund Dimbrels: Fund Dimbrels: Fund Dimbrels: Fund Alternative ID (Optional):	FUND ONBOARDING REJECTION:           Please provide a comment below:           Change effective date			Cancel Submit	synuat071 Comp511 543162 GSH689 B21XXX the LC.
CEX Synapse Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AR: Approved & FUND DETAILS: FUND DETAILS: FUND DETAILS: Fund Name: Fund LE: Fund Name: Fund Demelaic; Fund Name: Fund Name:	FUND ONBOARDING REJECTION: Please provide a comment below: Change effective date	2		Cancel Submit	synuat071 Samp511 543182 GSH889 B21XXX treeschzz the LC.
CEX Synapse Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AR: Approved - FUND DETAILS FUND DETAILS FUND DETAILS: Fund Name: Fund LEI: Fund Demoile: Fund Demoile: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	FUND ONBOARDING REJECTION:         Please provide a comment below.         Change effective date			Cencel Submit	Somp511 543182 GSH889 B21XXX cressfuz the LC.
CEX Synapse Power of Connectivity. Omboarding Details: FUND ID 553182 Conboarding Status: AM: Approved - FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Name: Fund Name: Fund Name: Fund Dimbrels: Fund Dimbrels: Fund Dimbrels: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade:	FUND ONBOARDING REJECTION:         Please provide a comment below:         Change effective date			Cancel Submit	synual071 Somp511 543182 GSH889 B21XXX the LC.
CEX Synapse Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved - FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Ame: Fund LE: Fund Ame: Fund LE: Fund Attemative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Buy Trade:	FUND ONBOARDING REJECTION: Please provide a comment below. Change effective date			Cancel Submit	Synual071 Submit Fo Samp511 S43182 S2100X the LC.
CEX Synapse Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Numer Fund LE: Fund Alternative ID (Optional): End Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Suil Trade:	FUND ONBOARDING REJECTION:         Please provide a comment below:         Change effective dated			Cancel Submit	synual071
CECK Synapse Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AR: Approved of FUND DETAILS: FUND DETAILS: FUND DETAILS: FUND DETAILS: Fund Name: Fund Name: Fun	FUND ONBOARDING REJECTION: Please provide a comment below: Change effective date			Cancel Submit	symual071 Solent Fo Comp511 S43182 S219004 B21004 B210004 B210004 B210000000000000000000000000

2. Then the GC Data Manager Input Only User must provide the rejection reasons by clicking "Submit" and then reject the fund details by clicking "Reject".

#### **Rejection by GC Data Manager Input Authorise User:**

1. The GC Data Manager Input Authorise User receives a notification that the GC Data Manager Input Only User has rejected the fund via the Dashboard view or the Funds List view.

HKE The Power	X Synapse of Connectivity.	Sottlement Instru	tions	Funds		Relationshin	e Market Data	6 Aug	ust 20	22 🕃	synuat073 synuat07	73 ~ 🗙
FUNDS	1 Awaiting G	Contonion 1 GC Maker Approval Awaitir	ng GC Checker	1 Approval Awaiting LC A	pproval	resultanismp.					Q Search Ger	nerate Report
	FUND NAME 4 7	FUND ACCOUNT AT GC 7 7		GC'S ACCOUNT AT LC 4 7				<b>∆M</b> ≙	GC 4	IC <sup>A</sup>	STATUS	
555555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	80000002 2021-06-05	~	~	~	Active	DETAILS >
555555	Fidelity Asia Fund	546272	SynComp501	762456	SynComp521	600002	80000001 2021-06-05	~	~	~	Active	DETAILS >
555555	Fidelity Asia Fund	546270	SynComp501	123456789	SynComp521	300013	80000001 2021-06-05	~	~	~	Active	DETAILS >
555555	Fidelity Asia Fund	546270	SynComp501	762456	SynComp521	300013	80000001 2021-06-05	~	~		LC Maker Approved	DETAILS >
553182	Fidelity Asia Fund 3182	543182	SynComp501		SynComp521	300013	80000001 2021-06-05	1	•	-	GC Maker Rejected	DETAILS >
553180	Fidelity Asia Fund 3180	543180	SynComp501		SynComp521	300013	80000001 2021-06-05	1	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	80000001 2021-06-05	1	1	1	Active	DETAILS
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001 2021-06-05	1	~	~	Active	DETAILS
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	80000001 2021-06-05	1	1	1	Active	DETAILS

2. On the Fund Details view, the GC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" and the "Reject back to AM" buttons. The "Approve" button is greyed out.

IKEX Synapse Power of Connectivity.				🗂 26 August 2022 🕃 s	ynuat073 synuat073 🗸 🚶
al Onboarding Details: FUND ID 553182					nd List × Reject × Approve
Onboarding Status:	▲GC Maker: Rejected × ●	GC Checker: Pending	LC:Pending	Status: Inactive	Reject Back To Maker Reject Back To AM
FUND DETAILS			FUND PROFILE 1 DETAILS		
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:		
			GC Name:		SynComp511
Fund Name:	Fide	ity Asia Fund 3182	Fund Account at GC:		543182
Fund LEI:	549300	N66LYETIGSH359	GC LEI:	222200	N66LBBAAGSH889
Fund Umbrella:	F	idelity Global Fund	GC BIC:		FIVCGB21XXX
Fund Domicile:		HK	GC DN:	cn=invfunds	ou=80a,o=creschzz
Fund ID: Fund Alternative ID (Optional):		553182	GC's Account at LC:		
DEFAULT SETTLEMENT MODE:			LOCAL CUSTODIAN DETAILS:		
Settlement Mode - Buy Trade:		DVP	Investor ID:		300013
Settlement Mode - Sell Trade:		FOP	LC Name:		SynComp521
			LC CCASS ID:		C00016
FUND PROFILE PROCESSING DETAILS	i:		LC LEI:	621344	ABC32JRTFGR421
			LC BIC:		JMPPMJ55XXX
Fund Effective Date:		2021-06-05	LC DN:	cn=invfunds.	ou=80a,o=creschzz

3. The GC Data Manager Input Authorise will select "Reject Back to Maker" when the Input Authorise User disagrees with the Input Only User's rejection.

EX Synapse er of Connectivity.				苗 26 August 2022 🕃 synuat073 synuat0
boarding Details: FUND ID 553180				← Back to Fund List × Reject
Onboarding Status:				
AM: Approved </td <td>▲GC Maker: Rejected × ●</td> <td>GC Checker: Pend</td> <td>ling LC: Pending</td> <td>Status: Inactive</td>	▲GC Maker: Rejected × ●	GC Checker: Pend	ling LC: Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS	
			GC Name:	SynComp511
Fund Name:	Fidel	y Asia Fund 3180	Fund Account at GC:	543180
Fund LEI:	549300	66LYETIGSH359	GC LEI:	222200N66LBBAAGSH889
Fund Ombrena:	E C	leitty Global Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:		FIK SECOND	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):		777777	GC's Account at LC:	
DEFAULT SETTLEMENT MODE:			LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP	Investor ID:	300013
Settlement Mode - Sell Trade:		DVP	LC Name:	SynComp521
			LC CCASS ID:	C00016
FUND PROFILE PROCESSING DETAI	LS:		LC LEI:	621344ABC32JRTFGR421
			LC BIC:	JMPPMJ55XXX
Fund Effective Date:		2021-06-05	LC DN:	cn=invfunds,ou=80a,o=creschzz

4. Then the GC Data Manager Input Authorise User must provide the rejection reason(s) by clicking "Submit".

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 @ synuati073 synuati073 🗸 🔀
Initial Onboarding Details: FUND ID 553180		General Approve     Section 2.1 - 2.1
Onboarding Status: AM: Approved ~ FUND DETAIL S	FUND ONBOARDING REJECTION: Please provide a comment below:	Sfatus:Inactive
FUND DETAILS: Fund Name: Fund LEI: Fund Umbrella: Fund Dir: Fund Dir: Fund Alternative ID (Optional):	Change effective date	SynComp511 543180 222200466LB6AAG5H89 FIVCG821XXX cn=invfunds.cu=50g.o+creachtz2 Cancet Sutmit
DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Sell Trade: FUND PROFILE PROCESSING DETAIL Fund Effective Date:	2021-06-05 LC BIC: 2021-06-05 LC DN:	300013 SynComp521 CO0016 8213440CC321RFFGR421 JMPPM455XXX cn=invfunds.cu=80a.o=creschzz

5. Funds List view: increased counter under "Awaiting GC Maker Approval", changed icon from 'O' to '---' in the GC column, and changed status to "GC Checker Rejected"

#### Approval by GC Data Manager Input Only User; Rejection by GC Data Manager Input Authorise User back to GC Data Manager Input Only User:

If the GC Data Manager Input Only User approves the fund and the GC Data Manager Input Authorise User disagrees with the GC Data Manager Input Only User's approval/input, the GC Data Manager Input Authorise User must reject back to the GC Data Manager Input Only User. After that, the GC Data Manager Input Only User will need to either amend the GC's Account at LC for re-approval by the GC Data Manager Input Authorise User or rejects the fund.

#### Rejection by GC Data Manager Input Only User; Rejection by GC Data Manager Input Authorise User Back to GC Data Manager Input Only User:

If the GC Data Manager Input Only User rejects the fund and the GC Data Manager Input Authorise User disagrees with the GC Data Manager Input Only User's rejection, the GC Data Manager Input Authorise User must reject back to the GC Data Manager Input Only User. After that, the GC Data Manager Input Only User will need to restart the fund approval / rejection process again.

#### 5.1.3 Local Custodians (LC)

#### Approval by LC Data Manager Input Only User; Approval by LC Data Manager Input Authorise User:



#### Approval by LC Data Manager Input Only User:

- 1. The LC Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The LC Data Manager Input Only User will be informed in two ways:
  - Dashboard view: increased counter in Fund Profiles section under "Awaiting LC Maker Approval"
  - b. Funds List view: increased counter under "Awaiting LC Maker Approval", changed icon from '—' to '√' in the AM column, changed icon from '—' to '√' in the GC column, and changed status to "GC Approved"
- The LC Data Manager Input Only User can navigate to the Fund Details view by clicking "Details" on the Funds List view and see that the AM has successfully onboarded a fund that has been approved by the GC and can click through to the Fund Details page.
- 4. On the LC Data Manager Input Only User's Fund Details page view, they have to confirm the "GC's Account at LC" field before hitting "Submit For Approval".

Onboarding Status: AM:Approved - GC:Approved - FUND DETAILS FUND DETAILS Fund Name: Fund Mame: Fund Unbrella: Fund Unbrella: Fund Demicle: Fund ID: Fund ID: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	▲LC Maker: Pending Submission Fidelity Asia Fund 2679 549300N66UYETIGSH359 Fidelity Global Fund HK 342679 342668	LC Checker:Pending FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN:	Status:Inactive SynComp511 904459 222200N66LBBAAGSH680
AM: Approved - GC: Approved - FUND DETAILS FUND DETAILS: Fund Name: Fund Umbrella: Fund Umbrella: Fund Umbrella: Fund ID: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	▲LC Maker: Pending Submission     Fidelity Asia Fund 2679     549300N66LVETICSH359     Fidelity Global Fund     HK     342679     342568	LC Checker:Pending FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN:	Status:Inaclive SynComp511 9004859 222200N66LBBAAGSH688
FUND DETAILS FUND DETAILS: Fund Name: Fund LB: Fund Umbrella: Fund Domicile: Fund DD Fund ID: DEFAULT SETTLEMENT MODE:	Fidelity Asia Fund 2679 549300N66UYETIG5H359 Fidelity Global Fund HK 342679 34266	FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC CN:	SynComp511 904859 222200N66LBBAAG5H888
FUND DETAILS FUND DETAILS: Fund Name: Fund Umbrella: Fund Ombrella: Fund Domicile: Fund Dimicile: Fund ID: DEFAULT SETTLEMENT MODE: DEFAULT SETTLEMENT MODE:	Fidelity Asia Fund 2579 549300N66LYETIGSH359 Fidelity Global Fund HK 342679 342568	GLOBAL CUSTODIAN DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DI:	SynComp511 9004859 222200N66LBBAAGSH888
FUND DETAILS: Fund Name: Fund Umbrella: Fund Domoile: Fund ID: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	Fidelity Asia Fund 2679 549300N66UYETIGSH359 Fidelity Global Fund HK 342679 34268	GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN:	SynComp511 9004859 222200N66LBBAAGSH888
Fund Name: Fund Umbrella: Fund Domicile: Fund ID: Fund ID: DEFAULT SETTLEMENT MODE:	Fidelity Asia Fund 2679 549300N66LYETIGSH359 Fidelity Global Fund HK 342679 342668	GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN:	SynComp511 9004859 222200N66LBBAAGSH888
Fund LEI: Fund Domicile: Fund Domicile: Fund II: DEFAULT SETTLEMENT MODE:	549300N66LYETIGSH359 Fidelity Global Fund HK 342679 342668	Fund Account at GC: GC LEI: GC BIC: GC DN:	9004859 222200N66LBBAAGSH888
Fund Umbrella: Fund Domicile: Fund Dic Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	Fidelity Global Fund HK 342679 342668	GC LEI: GC BIC: GC DN:	222200N66LBBAAGSH888
Fund Domicile: Fund ID: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	HK 342679 342668	GC BIC: GC DN:	
Fund ID: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	342679 342668	GC DN:	FIVCGB21XXX
Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	342668		cn=invfunds,ou=80a,o=creschzz
		GC's Account at LC:	752194
Settlement Mode - Buy Trade:	DVP	LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Sell Trade:	FOP		
FUND PROFILE PROCESSING DETAILS:		Investor ID:	300013
		LC Name:	SynComp521
Fund Effective Date:	2021-06-06	LC CCASS ID:	C00016
		LC LEI:	621344ABC32JRTFGR421
		LC BIC:	JMPPMJ55XXX
			🗄 23 August 2022 🕃 synuat141 synuat14
boarding Details: FUND ID 342679			🗄 23 August 2022 ③ synuat141 synuat14
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved ~ GC: Approved ~	LC Maker: Approved ~	▲LC Checker:Pending Approval	e 23 August 2022 @ synuat141 synuat14
boarding Details: FUND ID 342679 Onboarding Status: AM:Approved > GC:Approved >	LC Maker: Approved ->	▲LC Checker:Pending Approval	E 23 August 2022 © synuat141 synuat14
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved ~ GC: Approved ~ FUND DETAILS	LC Maker: Approved ~	▲LC Checker: Pending Approval FUND PROFILE 1 DETAILS	23 August 2022 @ synuat141 synuat14 + Back t Status:Inactive
boarding Details: FUND ID 342679 Onboarding Status: AM:Approved - GC:Approved - FUND DETAILS FUND DETAILS:	LC Maker: Approved ~	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS:	e Back t
Doarding Details: FUND ID 342679 Onboarding Status: AM: Approved > GC: Approved > FUND DETAILS FUND DETAILS: Fund Nume:	LC Maker: Approved ~	ALC Checker; Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name:	Carl 23 August 2022 (2) synuat141 synuat14
Doarding Details: FUND ID 342679 Onboarding Status: AM: Approved	LC Maker; Approved - Fidelity Asia Fund 2679 549300N66LVETIJGH359	▲LC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC:	23 August 2022 () synuat141 synuat14  4 Hack to Status:Inactive  SynComp511 900459
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved	LC Maker: Approved ~ Fidelity Asia Fund 2679 549300N66LYETIG5H359 Fidelity Global Fund	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE:	23 August 2022 (a) synuat141 synuat14  C Back 1  Status: Inactive  SynComp511  Sou4559 222200H5ELBAAGSH883
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved ✓ GC: Approved ✓ FUND DETAILS FUND DETAILS: Fund Name: Fund LE: Fund Umbrelia: Fund Umbrelia: Fund Umbrelia: Fund Status:	LC Maker: Approved ~ Fidelity Asia Fund 2679 549300N66LYETIGSH359 Fidelity Global Fund HK	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC:	23 August 2022 (a) synuat141 synuat14 4 Back t 5 Status: Inactive SynComp511 9004559 222200N6LBBAAGSH888 21FVCG821X0X
Aboarding Details: FUND ID 342679 Onboarding Status: AM: Approved > GC: Approved > FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Details: Fund Detai	LC Maker: Approved > Fidelity Asia Fund 2679 549300N66LYETIGSH359 Fidelity Global Fund HK 342679	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC CN:	23 August 2022 (a) synuat141 synuat14  4 Back f  5 Status:Inactive  SynComp51  9004859  222200N66LBBAAGSH838 FVC682LXXX cn+imfunds.our36.ac=rstatus cn+imfunds.our36.ac=rstatus
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved ~ GC: Approved ~ FUND DETAILS FUND DETAILS Fund Name: Fund Name: Fund Dericle: Fund Domicile: Fund Domicile: Fund Mareative ID (Optional): DeFAULTSETLEMENT MODE:	LC Maker: Approved - Fidelity Asia Fund 2679 549300N66LYETIG5H3599 Fidelity Global Fund HK 342679 342868	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC DB: GC DB: GC DB: GC DB: GC DB: GC DB:	Carl and a series of the serie
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved ✓ GC: Approved ✓ FUND DETAILS FUND DETAILS: Fund Name: Fund LEI: Fund Domicile: Fund Domici	LC Maker: Approved ~ Fidelity Asia Fund 2679 549300N66LYETIGSH359 Fidelity Global Fund HK 342679 342668	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC BIC: GC C BIC: GC C C C C GC C N: GC C N: G	23 August 2022 (a) synuat141 synuat14 4 Back ( 5 Status:Inactive SynComp511 900459 222200N96LBBAAGSH888 Con+im/funds.ou+90a.e=creschzz 752194
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved ✓ GC: Approved ✓ FUND DETAILS FUND DETAILS: Fund Name: Fund Name: Fund Unbrells: Fund Deli: Fund Deli: Fund Deli: Fund Deli: Fund Deli: Fund Deli: Fund Name: Fund Name: Fund Name: Fund Deli: Fund Name: Fund Nam	LC Maker: Approved > Fidelity Asia Fund 2679 549300N66LVETIGSH359 Fidelity Global Fund HK 342579 342568 342568	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC DR: GC DR: GC SAccount at LC: LOCAL CUSTODIAN DETAILS:	23 August 2022 (a) synuat141 synuat14  4 Back  4 Back  5 Status: Inactive  SynComp51  900459  22200N96LB8AAGSH888  FUVG821VXX cn=imvfunds.ou=60a,o=creachzz 752194
Aboarding Details: FUND ID 342679 Onboarding Status: AM: Approved < GC: Approved < FUND DETAILS FUND DETAILS Fund Name: Fund LEI: Fund Umbrella: Fund Domielle: Fund Dire: End Umbrella: Fund Atternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Settl Trade: Settlement Mode - Settl Trade:	LC Maker: Approved - Fidelity Asia Fund 2679 549300N66LYETICSH3599 Fidelity Global Fund HK 342679 342668 DVP FOP	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DI: GC DI: GC'S Account at LC: LOCAL CUSTODIAN DETAILS:	23 August 2022
boarding Details: FUND ID 342679  Onboarding Status: AM: Approved ~ GC: Approved ~  FUND DETAILS  FUND DETAILS: Fund Name: Fund LEI: Fund Umbrella: Fund Domicile: Fund DDetrail: DEFAULT SETTLEMENT MODE: Settlement Mode - Bult Trade: FUND PROFILE PROCESSING DETAILS:	LC Maker; Approved - Fidelity Asia Fund 2679 549300N66LVETI0SH359 Fidelity Global Fund HK 342879 342868 DVP FOP	ALC Checker; Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC DIC: GC DIC: GC N: GC'S Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID:	23 August 2022 (a) synuat141 synuat14  4 Back  5 Status:Inactive  SynComp51 9004559 222200N96LBBLAGSH888 Con=im/funds.gu=808.ge=resetuz 752194 300013
Aboarding Details: FUND ID 342679 Onboarding Status: AM: Approved < GC: Approved < FUND DETAILS FUND DETAILS Fund Name: Fund Derivella: Fund Domicile: Fund Domicile: Fund Domicile: Fund Differentive ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Buy Trade: Settlement Mode - Set Trade: Fund Differentive Details: Fund PROFILE PROCESSING DETAILS: Fund File: Fund Details: Fund Processing Details: Fund Processing Details: Fund Processing Details: Fund Processing Details: Fund File:	LC Maker: Approved > Fidelity Aaia Fund 2579 549300N66LYETIGSH359 Fidelity Global Fund HK 442679 342668 DVP FOP 2021-06-06	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC DN: GC'S Account at LC: LOCAL CUSTODIAN DETAILS: INvestor ID: LC Name: CG M: COME DETAILS: INVESTOR ID: LC Name: CG M: COME DETAILS: COME DETAILS: COM	23 August 2022
boarding Details: FUND ID 342679 Onboarding Status: AM: Approved  GC: Approved  FUND DETAILS FUND DETAILS Fund Name: Fund Name: Fund Darbella: Fund Dombella: Fund Dombella: Fund Dombella: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Sult Trade: Fund DE: Fund EIFective Date: Fund EIFective Date:	LC Maker: Approved - Fidelity Asia Fund 2679 549300N66UYETICSH359 Fidelity Global Fund HK 342679 342668 UVP FOP 2021-06-06	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund account at GC: GC CLE: GC BIC: GC DI: GC'S Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Kame: LC CCASS ID: LC CCASS ID: LC File: LC File: File: LC File: LC File: LC File: LC File: LC File: LC File: File: LC File: LC File: CC File: File: LC File: CC File: File: LC File: File: LC File: File: LC File: File: CC File:	23 August 2022 (a) synuat141 synuat14  4 Back 1  5 Status: Inactive  SynComp511  900459  222200N96LBBAAGSH888  Convinvfunds.ouv90a.excessbzz 752194  300013 SynComp521  Con0016 C2144467420 ETERGE4102
Aboarding Details: FUND ID 342679 Onboarding Status: AM: Approved < GC: Approved < FUND DETAILS FUND DETAILS Fund Name: Fund Detrails: Fund Derrails: Fund Derrails: Fund Derrails: Fund Derrails: Fund Derrails: Fund Alterraitive ID (Optional): DEFAULTSETLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Buy Trade: Settlement Mode - Sell Trade: Fund Effective Date: Fund Effective Date:	LC Maker: Approved > Fidelity Asia Fund 2679 5493001464(VETIGSH359 Fidelity Global Fund Fidelity Global Fund S425679 342666 DVP FOP 2021-06-06	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC BIC: GC BIC: GC SIC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name: LC CASS ID: LC Reic: LC BIC: LC	23 August 2022 (a) synuat141 synuat14  4 Back  4 Back  5 Status: Inactive  SynComp51  900459  222200N96LBBLAGSH888  F1VCG821V0X  cm=im/slunds.ou=808.o=creschzz  752194  300013 SynComp521 000016 621344ABC222HTFGR421 000016
hboarding Details: FUND ID 342679 Onboarding Status: AM: Approved ✓ GC: Approved ✓ FUND DETAILS FUND DETAILS: Fund Name: Fund LEI: Fund Denricle: Fund Denricle: Fund Denricle: Fund Determative ID Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Sett Trade: Settlement Mode - Sett Trade: Fund Determative ID PROCESSING DETAILS: Fund Effective Date:	LC Maker: Approved - Fidelity Asia Fund 2679 549300N66UYETIGSH359 Fidelity Global Fund HK 342679 342668 UVP FOP 2021-06-06	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE: GC BIC: GC SA Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Ame: LC CCASS ID: CC SA SID: CC SID	23 August 2022 (a) synuat141 synuat14  4 Back 1  5 Status: Inactive  SynComp511 900459 222200N96LBBAAGSH888 Con-einwfunds.ou-89a.e-creactizz 752194 300013 SynComp521 Con016 620440-20170500450 Con016 620440-20170500450 Con016 620440-20170500450 Con016 Con104-Co
nboarding Details: FUND ID 342679 Onboarding Status: AM: Approved > GC: Approved > FUND DETAILS: Fund Name: Fund DetTAILS: Fund Mame: Fund Unbrella: Fund Domicile: Fund Domicile: Fund Domicile: Fund Alternative ID (Optional): DetFAULTSTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Buy Trade: Settlement Mode - Buy Trade: Settlement Mode - Sust Trade: Fund Effective Date: Fund Effective Date:	LC Maker: Approved > Fidelity Asia Fund 2679 549300Ne6LVETIGSH359 Fidelity Global Fund HK 342579 342568 DVP FOP 2021-06-06	ALC Checker: Pending Approval FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC DIC: GC DIC: GC N: GC's Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name: LC CASS ID:	23 August 2022

		.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	0120	Optional (M/O)	
Fund Profile Onboarding Status	Indicates the current status of the Fund Profile Onboarding Workflow	String	20	N/A	N/A
Fund Name	The Legal Entity name of the Fund	String	70	N/A	N/A
Fund LEI	Legal Entity Identifier for the Fund	String	20	N/A	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	N/A	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166- 1-alpha-2 code	String	2	N/A	2 characters
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g.,	String	20	N/A	N/A

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
	for integration into other systems				
Settlement Mode – Buy Trade	Default Settlement Mode for Fund	String	3	N/A	3 characters
Settlement Mode – Sell Trade	Default Settlement Mode for Fund	String	3	N/A	3 characters
Fund Effective date	The date from which the fund is active on the system	Date	20	N/A	YYYY-MM-DD
	Note: An indicative date will be input by the AM, and the actual Fund effective date depends on when the LC completes the fund's approval				
Global Custodian Name	The Legal Entity name of the Global Custodian	String	70	N/A	N/A
Fund Account at Global Custodian					N/A
Global Custodian LEI	Legal Entity Identifier for the Global Custodian	String	20	N/A	N/A
Global Custodian BIC	BIC Code for the Global Custodian	String	11	N/A	N/A
Global Custodian DN	DN Code representing the Global Custodian serving the fund	String	52	N/A	Min 8 characters
Global Custodian's Account at Local Custodian	Account No. for Global Custodian at Local Custodian	String	15	N/A	N/A
Local Custodian Name	The Legal Entity name of the participant	String	70	N/A	N/A
Local Custodian CCASS ID	CCASS Participant ID for the Local Custodian	String	6	N/A	6 characters
Local Custodian LEI	Legal Entity Identifier for the Local Custodian	String	20	N/A	N/A
Local Custodian BIC	BIC Code for the Global Custodian	String	11	N/A	N/A
Local Custodian DN	DN Code representing the Local Custodian serving the Global Custodian	String	52	N/A	N/A
SPSA	SPSA account No. for Investor ID	Integer	8	N/A	N/A

## Approval by LC Data Manager Input Authorise User:

1. The LC Data Manager Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

- The LC Data Manager Input Authorise User will be informed that the LC Data Manager Input Only User confirmed the "GC's Account at LC" field that the GC provided in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting LC Checker Approval"
  - b. Funds List view: increased counter under "Awaiting LC Checker Approval", changed icon from '—' to 'O' in the LC column, and changed status to "LC Maker Approved"
- 3. The LC Data Manager Input Authorise User can navigate to the Fund Details view by clicking "Details" on the Funds List view.
- 4. On the LC Data Manager Input Authorise User's Fund Details page view, they can review the details and approve the fund by clicking "Approve".

arding Details: FUND ID 34267	9			← Back to Fund List × Reje
Onboarding Status:				
AM: Approved ~	GC: Approved ~	LC Maker: Approved ~	LC Checker: Pending Approval	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
TOND DETAILS.			CODAL COSTODIAN DETAILS.	
Fund Name:		Fidelity Asia Fund 2679	GC Name:	SynComp5
Fund LEI:		549300N66LYETIGSH359	Fund Account at GC:	900485
Fund Umbrella:		Fidelity Global Fund	GC LEI:	222200N66LBBAAGSH88
Fund Domicile:		HK	GC BIC:	FIVCGB21XX
Fund ID:		342679	GC DN:	cn=invfunds,ou=80a,o=cresch:
Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:		342668	GC's Account at LC:	75219
Settlement Mode - Buy Trade:		DVP	1	
Settlement Mode - Sell Trade:		FOP	LOCAL CUSTODIAN DETAILS:	
FUND PROFILE PROCESSING DET	TAILS:		Investor ID:	3000
			LC Name:	SvnComp5
Fund Effective Date:		2021-06-06	LC CCASS ID:	C000
			LC LEI:	621344ABC32JRTFGR42
			LC BIC:	JMPPMJ55XX
			LC DN:	an instante au Aña a anach
(Synapse				ci=iiwunos.ou=ova.o=ciesch
K Synapse				crienkunds of 200 decleson
<b>Synapse</b> of Connectivity. Irding Details: FUND ID 34267	9			cileinkunss ou-ood, e-d-e-oo 23 August 2022 @ synuat143 synua + Ba
d Connectivity. rding Details: FUND ID 34267 Onboarding Status:	9			crienkunds oreod ged eede ∎ 23 August 2022 @ synuat143 synua + Ba
Connectivity. rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~	9 GC:Approved	LC Maker: Approved ~	LC Checker: Approved ~	CTHINNINGS OF 60 O
C Synapse I Connectwity. rding Details: FUND ID 34267 Onboarding Status: AM:Approved ~ FUND DETAILS	9 GC:Approved ->	LC Maker: Approved ~	LC Checker: Approved > FUND PROFILE 1 DETAILS	d Hinkunds of 2004 2014 port ■ 23 August 2022 ③ synuatt 43 synua + Ba Status:Inactive
C Synapse I Connectivity. rding Details: FUND ID 34267 Onboarding Status: AM:Approved ~ UND DETAILS FUND DETAILS	9 GC: Approved	LC Maker: Approved ~	LC Checker: Approved FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS:	trienkundus oreod ded eed eed ■ 23 August 2022 ③ synual143 synua + Ba Status:inactive
Connectivity. rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ SUND DETAILS FUND DETAILS: Fund Name:	9 GC: Approved >	LC Maker: Approved >	LC Checker: Approved -/ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name:	crientvunss or≠ood ged egot ■ 23 August 2022 ③ synuat143 synua + fla Status:inactive SynComp5
C Synapse Connectivity rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ SUND DETAILS FUND DETAILS FUND DETAILS: Fund Name: Fund LB:	9 GC:Approved ->	LC Maker: Approved ~ Fidelity Asia Fund 2679 549300NB4/ETIGSH399	LC Checker: Approved ✓ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC:	tri=inkulus or=od r==ot=ot ■ 23 August 2022 ③ synuatt43 synua < Ba Status:Inaclive SynComp5 90045
Connectivity: rding Details: FUND ID 34267 Onboarding Status: AM:Approved ~ UND DETAILS FUND DETAILS: Fund Name: Fund UB: Fund U	9 GC: Approved >	LC Maker: Approved ~ Fidelity Asia Fund 2579 5483000H5LYETIGS151593 Fidelity Global Fund	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE:	crientworks ore-oot_are-created ■ 23 August 2022 () synuat143 synua + 18a Status: inactive SynComp5 50048 222200466LBBAAGSH8
C Synapse Connectivity rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ :UND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS	9 GC:Approved ->	LC Maker: Approved ~ Fidelity Asia Fund 2679 549300N6U/ETIGSH399 Fidelity Global Fund HK	LC Checker: Approved ✓ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BLC:	CHEINWURS OF GOLD CHEEK
Connectivity: rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS: Fund Name: Fund Mame: Fund Mame: Fund Denicile: Fund Domicile: Fund Denicile: Fund Denicile: Fund Denicile: Fund Denicile:	9 GC: Approved >	LC Maker: Approved ~ Fidelity Asla Fund 2679 54830001861/ETIGS15139 Fidelity Global Fund HK 342679	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE: GC BIC: GC DN:	tri=invanus or=oo_a==drepor ■ 23 August 2022
Connectivity Connectivity ding Details: FUND ID 34267 Onboarding Status: AM:Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund Umbreila: Fund Dimicile: Fund Umbreila: Fund Dimicile: Fund Idemative ID (Optional): DEFAULT SETTLEMENT MODE:	9 GC:Approved -/	LC Maker: Approved > LC Maker: Approved > Fidelity Asia Fund 2679 549300N861/ETIG541539 Fidelity Global Fund HK 342679 342660	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN: GC's Account at LC:	CHEINNUISS OF 402 OF CHEEN 23 August 2022 (a) synual143 synua * 18 Status: Inactive Status: BAAGSH4 SYNComp5 22200048 BBAAGSH4 FEVRORE2020 cn=im/funds.ou=00a_o=creativ 75215
Connectivity Connectivity rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ SUND DETAILS FUND DETAILS FUND DETAILS: Fund LB: Fund LB: Fund LB: Fund Demiclie: Fund Demiclie: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode. Bw Trade:	9 GC: Approved ->	LC Maker; Approved ~ Fidelity Asla Fund 2679 5403004/02/TFIGSH399 Fidelity Global Fund HK 342675 34266	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LB: GC BC: GC DN: GC N: GC N	CHEMANAS OF 404 OF CHEMAN 23 August 2022 () synuat143 synua 4 Ba Status:Inactive Status:BaAGSHB 22220N66LBBAGSHB CHEMANAS ou-60a OF CHEMAN 72216
Connectivity: ding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS: Fund Der: Fund ID: Fund ID: Fund ID: Fund ID: Fund ID: Fund ID: Fund ID: Fund ID: Settlement Mode - Sby Trade: Settlement Mode - Sby Trade:	9 GC: Approved	LC Maker: Approved ~ Fidelity Asia Fund 2679 5483000/NORELY=TIGSH350 Fidelity Global Fund HK 342679 342660 DVP FOP	LC Checker: Approved -/ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC DN: GC DN: GC SA Account at LC: LOCAL CUSTODIAN DETAILS:	CHEINWURS CHEVOL CHEPCH 23 August 2022 () synual143 synua CHEINWURS CHEVOL Status:Inactive SynComp5 SynComp5 SynComp5 SynComp5 CHEVOL SynComp5 Syn
C Synapse Connectivity rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund Umkrela: Fund Domicile: Fund ID: Fund Alternative ID (Optiona): DEFAULT SETTLEMENT MODE: Settlement Mode - Sell Trade: Fution ProcCessing Def	9 GC: Approved -/	LC Maker: Approved > Fidelity Asia Fund 2679 549300N86LYETIGSH393 Fidelity Global Fund HK 342679 342669 DVP FOP	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN: GC's Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID:	CHEMANAS OF 402 OF FED 23 August 2022 () synual 143 synua * 18 Status: Inactive SynComp5 22200066 BBAAG5H8 FEVICG821XX cn=im/funds ou=000 =creativ 75215
C Synapse Connective, rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ SUND DETAILS FUND PROFILE PROCESSING DET	9 GC:Approved TAILS:	LC Maker: Approved > Fidelity Asia Fund 2679 549300N6U/ETIGSH359 Fidelity Global Fund HK 342679 342668 DVP FOP	LC Checker: Approved ✓ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BC: GC CN: GC Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name:	dreinkunds de=da de=deen ■ 23 August 2022 ③ synuati43 synua    Status:inactive SynComp5 Sounds SynComp5 Sup3 Callenkunds ou=00.ecresch 75215 SynComp5 
Connectivity Connectivity rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund Idne: Fund ID: Fund AIE: Fund Domicile Fund Id: Fund AItemative ID (optional): DEFAULT SETTI-MENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Sell Trade: Fund Effective Date:	9 GC:Approved -/ TAILS:	LC Maker: Approved ~ LC Maker: Approved ~ S49300N861/ETIGSH50 Fidelity Asia Fund 2679 S49300N861/ETIGSH50 Fidelity Global Fund HK 342679 342669 DVP FOP 2021-06-06	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: FUND Account at GC: GC LEI: GC BN: GC's Account at LC: LCCAL CUSTODIAN DETAILS: Investor ID: LC Name: LC CASS ID:	CHEINNUISS OF 402 OF CHEIST 23 August 2022 (a) synual 143 synua 143 synua Status: Inactive SynComp5 22200Net BBAAGSH4 FEVOG82100 Griein/funds ou=60a_e-creatu 75215 30001 SynComp5 0004 0005 00
Connectivity Connectivity ding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ SUND DETAILS FUND PROFILE FUND FUND PROFILE FUND FUND br>FUND F	9 GC: Approved -> TALL S:	LC Maker: Approved ~ LC Maker: Approved ~ Fidelity Asia Fund 2679 549300N6U/ETIGSH399 Fidelity Global Fund HK 342669 242669 DVP FOP 2021-06-06	LC Checker: Approved ✓ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC NA: GC Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC CARSS ID: LC CASS ID: LC LEI:	CIHINADIS OF 00 2 0 CHERT
Connectivity Connectivity rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ SUND DETAILS FUND DETAILS: Fund Demails: Fund Demails: Fun	9 GC: Approved ->	LC Maker; Approved ~ Fidelity Asla Fund 2679 5403004/02/TFIGSH359 Fidelity Global Fund HK 342675 34266	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LB: GC B: GC DR: GC DR: GC DR: GC N: GC	CHEINVARUS CHEVOL (CHEVAN 23 August 2022 (C) synuat143 synua 4 Ba Status:Inactive Status:Linactive SynComp5 80048 22220N66LBBAAGSHB 75211 75211
K Synapse M connectivity. rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS Fund Imbrella: Fund ID: Fund ID: Fund ID: Fund ID: Fund ID: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	9 GC:Approved ->	LC Maker: Approved ~ Fidelity Asia Fund 2679 S49300N6U/ETIGSH399 Fidelity Global Fund HK 342679 342669 Dt3	LC Checker: Approved ✓ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC RC: GC DN: GC Account at LC: I	di=invalues de=out d=dede 23 August 2022 ③ synual143 synua ← Ba Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5 Status:inaclive SynComp5
K Synapse Connectwity: rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ SUND DETAILS FUND DETAILS FUND DETAILS: Fund Demicle: Fund LB: Fund LB: Fund Demicle: Fund Alternative ID (Optional): DEFAUL 3ETTLEMENT MODE: Settlement Mode - BW Trade:	9 GC: Approved ->	LC Maker; Approved ~ Fidelity Asla Fund 2679 5403004/02/TFIGSH399 Fidelity Global Fund HK 342675 34266	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LB: GC BC: GC DN: GC N: GC N	CHEINVARUS CHEVOL CELEBO 23 August 2022 () synuat143 synua 4 Ba Status:Inactive Status:BaAGSHB 22220N66LBBAGSHB CHEINVARUS cu-60, ou-cetestu 7216
Connectivity. Ading Details: FUND ID 34267 Onboarding Status: AM: Approved UND DETAILS FUND DETAILS FUND DETAILS: Fund Universite: Fund LE: Fund Universite: Fund LE: Fund Statuster (Diptional): DEFAULT SETTLEMENT MODE: Settlement Mode - Self Trade: Settlement Mode - Self Trade:	9 GC: Approved >	LC Maker: Approved ~ Fidelity Asla Fund 2679 5493000180LYETIGS1459 Fidelity Global Fund HK 342679 342669 DVP EDP	LC Checker: Approved -/ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC DN: GC DN: GC N: GC N: CUSTODIAN DETAILS: LOCAL CUSTODIAN DETAILS:	CHEINWURS CHEVOL CHEVEN 23 August 2022 () synuati 43 synua 4 Ba Status: inactive SynComp5 222200465LBBAAGSHE FIVCGB2100 cn=inrfund, ou=0a_e-cresch 75215
C Synapse f Connectivity. rding Datails: FUND ID 34267 Onboarding Status: AM:Approve FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS FUND DETAILS SET STILEMENT MODE: Settlement Mode - Sell Trade: Settlement Mode - Sell Trade:	9 GC: Approved	LC Maker: Approved > Fidelity Asia Fund 2679 S48300N8LVETNGSH159 Fidelity Global Fund HK 342879 342869 DVP FOP	LC Checker: Approved -/ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC CLEI: GC CLEI: GC SA Account at LC: LOCAL CUSTODIAN DETAILS:	CHEINWOrds Out-God (Bed epon 23 August 2022 (a) synualt 43 synua 4 Bar Status:Inactive SynComp5 22200NESE BBAAGSNE FIVOGB2XXX cn=imfunds.out-60g.occreteXt 75216
C Synapse Connectivity ding Datailes: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund Damie Fund Statemative (D (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Sett Trades: Fund PROCESSING DPROCESSING DPROCES	9 GC:Approved ->	LC Maker: Approved > Fidelity Asia Fund 2679 5483001/63/¥TEIG514559 Fidelity Global Fund HK 342679 342660 DVP FOP	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC Name: GC Name: GC Name: Fund Account at GC: GC Name: GC Name:	CHEINNUNS OF 400 CECHEON
Connectivity Connectivity ding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund Umkrela: Fund Domicile: Fund ID: Fund Alternative ID (Optiona): DEFAULT SETTLEMENT MODE: Settlement Mode - Sell Trade: Fution PROCESSING DEF	9 GC: Approved -/	LC Maker: Approved > Fidelity Asia Fund 2679 549300N86LYETIGSH393 Fidelity Global Fund HK 342679 342669 DVP FOP	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN: GC's Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID:	CHEMANAS OF 402 OF FED 23 August 2022 () synual 143 synua * 18 Status: Inactive SynComp5 22200066 BBAAG5H8 FEVICG821XX cn=im/funds ou=000 =creativ 75215
Connectivity. Connec	g GC: Approved TAILS:	LC Maker: Approved ~ Fidelity Asia Fund 2679 549300N6L/ETIGSH530 Fidelity Global Fund HK 342679 342669 DVP FOP	LC Checker: Approved -/ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC BIC: GC BIC: GC SA Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: Investor ID	CHEINWORKS CORECULAR CORE 23 August 2022 () synual143 synua C Ba Status:inactive SynComp5 S
C Synapse Connectivity ding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund Damie: Fund Etail: Fund Amme: Fund Damie: Fund Damie: Fund Damie: Fund Damie: Fund Damie: Fund Damie: Fund Damie: Fund Damie: Fund Damie: Fund Amme: Fund Provide - Byr Trade: Settlement Mode - Set Trade: Fund Profile PROCESSING DET Fund Effective Date:	9 GC: Approved -> TAIL S:	LC Maker: Approved ~ LC Maker: Approved ~ Pdetity Adas Fund 2673 5433001/68//ETIGSH359 Fidetity Global Fund fidetity Global Fund fideti	LC Checker: Approved -/ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE: GC BC: GC DK: GC Name: LOCAL CUSTODIAN DETAILS: LOCAL CUSTODIAN DETAILS: Investor ID: LC Chame: CG Rame:	CHEINVARIAS CARACITES CONTRACT 23 August 2022 (a) synuatt 43 synua 4 Ba Status: Inactive SynComp5 80044 222200466LBAAGSAR4 Caracity Caraci
Connectivity. Connec	g GC: Approved TAIL S:	LC Maker: Approved > Fidelity Asia Fund 279 S439300N6L/ETIGSH159 Fidelity Global Fund HK 342679 342689 DVP FOP 2021-06-06	LC Checker: Approved -/ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC ELE: GC BC: GC BC: GC SA Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC CASS ID: LC CLF: C FE:	CIENTADIAS CIEGO 2 CELEBO 23 August 2022 () synualt 43 synua E Baa Status:Inactive SynComp5 22200N66L BBAA GSNB FVVCGB21XX cn=invfunds.cu=00.9.cerebit 75216 3000 COMP 23144462/30 FFTDA2
C Synapse Connectivity ding Datalis: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund Dame: Fund LB: Fund Status: Fund Status: Settement Mode - Set Trade: Settement Mode - Set Trade: Fund PROFILE PROCESSING DET Fund Effective Date:	9 GC: Approved -> TAILS:	LC Maker: Approved ~ LC Maker: Approved ~ S493001/68L/ETIGS/1359 Pidelity Global Fund Wi 34275 342666 DVP Fop 2021-06-06	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LE: GC BC: GC DN: GC Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC CAS \$10: LC CAS \$10	CHEINNUISS CHEVOL (CHEPCH 23 August 2022 (C) synuat 143 synua 4 Ba Status: Inactive Status: Inactive SynComp5 222200466LBBAA GSH46 C222200466LBBAA GSH46 75215 0000

Rejection by LC Data Manager Input Only User; Rejection by LC Data Manager Input Authorise User Back to GC:

For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User rejects the fund and the LC Data

Manager Input Authorise User agrees with the LC Data Manager Input Only User's rejection, the LC Data Manager Input Authorise User must reject back to the GC.



#### Rejection by LC Data Manager Input Only User:

1. When the LC Data Manager Input Only User rejects the fund, a text box appears for the LC Data Manager Input Only User to provide reason(s) for rejection in the form of freeform text.

HKEX Synapse The Power of Connectivity.	K P S	▲ Notifications -> 🗂 17 December 2021 @ CP0041_UM -> 🗙
Initial Onboarding Details: FUND ID 55	5555	-Back to Fund List ×Reject ✓ Submit For Approval
Onboarding Status: AM:Approved - FUND DETAILS FUND DETAILS: Fund Name:	FUND ONBOARDING REJECTION: Please provide a comment below: Change Effective Date 2021-06-07	atus: Inactive CP00913_SynapseGC
Fund LEI: Fund Dunbrella: Fund Domicile: Fund ID: Fund Alternative ID (Optional DEFAULT SETTLEMENT MOD) Settlement Mode - Buy Trade		9004871 222200468LB8AAGS49868 FIVCG82300X on=im/lunds.ou=808,encreschuz 902968
Settement Mode - Sell Trade FUND PROFILE PROCESSING Fund Effective Date:	LC DN: SPSA:	CP00417_SynapseLC C00016 621344ABC32JRTFGR421 

2. Then the LC Data Manager Input Only User must provide the rejection reasons by clicking "Submit" and then reject the fund details by clicking "Reject".

#### Rejection by LC Data Manager Input Authorise User:

- The LC Data Manager Input Authorise User receives a notification that the LC Data Manager Input Only User has rejected the fund via the Dashboard view or the Funds List view.
- 2. On the Fund Details view, the LC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" and the "Reject back to GC" buttons. The "Approve" button is greyed out.

	11			«Back to Ful	10 LIST × Reject
Onboarding Status:					Reject Back To M
AM: Approved ✓	GC: Approved <	▲LC Maker: Rejected × ●	LC Checker: Pending	Status: Inactive	Reject Back To G
FUND DETAILS			FUND PROFILE 1 DETAILS		
FORD DE IAIES.			GLOBAL COSTODIAN DE TAILS.		
Fund Name:		Fidelity North Fund	GC Name:	CF	00913_SynapseGC
Fund LEI:		540900N66LYETIGSH381	Fund Account at GC:		9004874
Fund Umbrella:		Fidelity Global Fund	GC LEI:	222200	N66LBBAAGSH888
Fund Domicile:		US	GC BIC:		FIVCGB21XXX
Fund ID:		111111	GC DN:	cn=invfunds	ou=80a,o=creschzz
Fund Alternative ID (Optional):			GC's Account at LC:		1404242
DEFAULT SETTLEMENT MODE:					
Settlement Mode - Buy Trade:		DVP	LOCAL CUSTODIAN DETAILS		
Settlement Mode - Sell Trade:		DVP			
FUND PROFILE PROCESSING DE	TAILS:		LC Name:	C	P00918_SynapseLC
			LC CCASS ID:		C00033
Fund Effective Date:		2022-02-10	LC LEI:	549300	5HANGSE88XEE42
			LC BIC:		HASEHKHHXXX
			LC DN:	cn=invfunds	ou=80a,o=creschzz
			0000		00000000

- 3. The LC Data Manager Input Authorise will select "Reject back to GC" when the LC Data Manager Input Authorise User agrees with the LC Data Manager Input Only User's rejection.
- 4. Then the LC Data Manager Input Authorise User must provide the rejection reason(s) by clicking "Submit".

HKEX Synapse The Power of Connectivity.		A Notifications -	07 February 2022 (3) CP0040_UM 🗟 🂢
Initial Onboarding Details: FUND ID 11	1111		Back to Fund List × Reject Poprove
Onboarding Status: AM:Approved ~ FUND DETAILS	FUND ONBOARDING REJECTION: Please provide a comment below:		as:Inactive
FUND DETAILS: Fund Name: Fund LE: Fund Dominile: Fund Dominile: Fund Alternative ID (Optional DEFAULT SETTLEMENT MOD Settlement Mode - Set Trace	Comment	Cancel 194790	CP00913_SynapseBC 0004874 222200N68LBBAAGSH088 FIVCGB2H084 cn=ier/funds.ou=80&a=creschzz 1404242
FUND PROFILE PROCESSING Fund Effective Date:		LC DN: SPSA:	CP00918_SynapseLC C00033 5489005H4NKOSE80KEE42 HASEHKH4000X cn=invfunds.ou=80a.c=creschzz 80000002

- 5. The GC Data Manager Input Only User will be informed in one way:
  - a. Funds List view: increased counter under "Awaiting GC Maker Approval", change in icon from '✓' to 'X ' in the GC column, and changed status to "LC Rejected"
  - b. The LC Data Manager Input Only User and LC Data Manager Input Authorise User will see the row disappeared from the Funds List view.



#### Approval by LC Data Manager Input Only User;

Rejection by LC Data Manager Input Authorise User Back to LC Data Manager Input Only User:

For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User approves the fund and the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User's approval/input, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.



#### **Rejection by LC Data Manager Input Authorise User:**

- 1. If the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User's approval/input, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.
- 2. On the Fund Details view, the LC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" button. The "Reject back to GC" button is greyed out.

HKEX Synapse The Power of Connectivity.				🖻 26 August 2022 🛞 synuat143 synuat143 🤟 🂢
KEY FUND DETAILS FUND PROFILE	1 FUND PROFILE 2	FUND PROFILE 3 FUND P	ROFILE 4	
FUND PROFILE STATUS: AM:APPROVED ~ FUND PROFILE DETAILS:	GC:APPROVED ->	LC MAKER: APPROVED >	ALC CHECKER: PENDING APPROVAL ASSET MANAGER DETAILS:	STATUS:IN Reject Back To Maker Reject Back To GC
Fund Effective Date: GLOBAL CUSTODIAN DETAILS:		2021-06-05	AM Name: AM LEI: AM BIC: AM DN:	SynComp501 549300N66LYETIGSH384 DTCCMEORXXX cn=inr/funds.ou=80a,o=creschzz
GC BIC: Fund Account at GC: GC Name:		FIVCGB21XXX 546270 SynComp511	LOCAL CUSTODIAN DETAILS: Investor ID: LC Name:	300013 SynComp521
GC LEI: GC DN: GC's Account at LC:	cn	222200N66LBBAAGSH888 -invfunds.ou=80a.o=creschzz 762456	LC CCASS ID: LC LEI: LC BIC: LC DN: SPSA:	C00016 621344ABC32JRTFGR421 JMPPMJ55XXX cn=invfunds.ou=80a.ou=creschzz 8000001

3. The LC Data Manager Input Authorise User must provide reason(s) for rejection in the form of freeform text.

HKEX Synapse The Power of Connectivity.			🖻 26 August 2022 ()) synuat143 synuat143 🗸 💢
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:		
FUND PROFILE STATUS:	Please provide a comment below:		× REJECT ✓ APPROVE
AM: APPROVED - G	Comment		STATUS: INACTIVE
FUND PROFILE DETAILS:			
Fund Effective Date:			SynComp501 549300N66LYETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:		Cancel Submit	- cn=invfunds,ou=80a,o=creschzz
GC BIC:			
Fund Account at GC:			300013
GC Name:			SynComp521
GC DN:			C00016
GC's Account at LC:			621344ABC32JRTFGR421
	LC DN:		cn=invfunds.ou=80a.o=creschzz
	SPSA:		8000001

4. Then the LC Data Manager Input Authorise User must provide the rejection reason(s) by clicking "Submit".

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 @ synuat143 synuat143 🗸 💢
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	× REJECT ✓ APPROVE
AM: APPROVED - GO	Please reject back to GC and change the GC account at LC	STATUS:INACTIVE SynComp501 549300N6LVETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS: GC BIC: Fund Account at GC: GC Name: GC LEI: GC NI: GC's Account at LC:	Cancel Submit	Criemanas, cu-eou, e-cesonzz 300013 SynComp521 621344ABC33JRTFGR421 621344ABC33JRTFGR421 criemanas, cu-eou, criemanas, cu-eou, cu-esonzz 80000001

- 5. The LC Data Manager Input Only User is informed of this rejection in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting LC Maker Approval"
  - b. Funds List view: increased counter under "Awaiting LC Maker Approval", changed icon from 'O' to '—' in the LC column, and changed status to "LC Checker Rejected"

#### Rejection by LC Data Manager Input Only User;

Rejection by LC Data Manager Input Authorise User Back to LC Data Manager Input Only User:

For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User rejects the fund and the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User's rejection, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.



# Rejection by LC Data Manager Input Authorise User Back to LC Data Manager Input Only User:

1. The LC Data Manager Input Authorise User can navigate to the Fund Details view by clicking "Details" on the Funds List view.

HKEX Synapse	<u> </u>				🖻 26 August 2022 🕃 synuat143 synuat143 🧹
Back Fund Details: FUND ID 555555					
Y FUND DETAILS FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFIL	E 4	
FUND PROFILE STATUS:					× REJECT VAPPROVE
AM: APPROVED -	GC:APPROVED -	LC MAKER:REJ	ECTED×0	LC CHECKER: PENDING	STATUS: INACTIVE
FUND PROFILE DETAILS:				ASSET MANAGER DETAILS:	
Fund Effective Date:		2021-06-05		AM Name: AM LEI: AM BIC:	SynComp501 549300N66LYETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:				AM DN:	cn=invfunds,ou=80a,o=creschzz
GC BIC:		EIVCGB21XXX		LOCAL CUSTODIAN DETAILS:	
Fund Account at GC:		546270		Investor ID:	200012
GC Name:		SynComp511		Investor ID:	300013
GC LEI:		222200N66LBBAAGSH888		LC NAME:	SynComp521
GC DN:	cn=	invfunds,ou=80a,o=creschzz		LC LEP	6213446BC32JRTEGR421
GC's Account at LC:		762456		LC BIC:	JMPPMJ55XXX
				LC DN:	cn=invfunds.ou=80a.o=creschzz
				SPSA:	80000001

- 2. If the LC Data Manager Input Authorise User disagrees with the LC Data Manager Input Only User's rejection, the LC Data Manager Input Authorise User must reject back to the LC Data Manager Input Only User.
- 3. On the Fund Details view, the LC Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" and "Reject back to GC" buttons. The "Approve" button is greyed out.

HKEX Synapse The Power of Connectivity.		S			🖻 26 August 2022 ④ synuat143 synuat143 🗸 🌖
Back Fund Details: FUND ID 555555					
Y FUND DETAILS FUND PROFILE	1 FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	_	
FUND PROFILE STATUS:					×REJECT VAPPROVE
AM:APPROVED -	GC:APPROVED ~	▲LC MAKER: RE.	JECTED × O	LC CHECKER: PENDING	STATUS:INAC Reject Back To Maker Reject Back To GC
FUND PROFILE DETAILS:				ASSET MANAGER DETAILS:	
Fund Effective Date:		2021-06-05		AM Name:	SynComp501
				AM LEI:	549300N66LYETIGSH384
				AM BIC:	DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:				AM DN:	cn=invfunds,ou=80a,o=creschzz
GC BIC:		FIVCGB21XXX		OCAL CUSTODIAN DETAILS:	
Fund Account at GC:		546270		Inventor ID:	200012
GC Name:		SynComp511		LC Names	SupCompE21
GC LEI:		222200N66LBBAAGSH888		LC CCASS ID:	C00016
GC DN:	cn=	invfunds,ou=80a,o=creschzz		ICIE:	621344ABC32.IRTEGR421
GC's Account at LC:		762456		LC BIC:	JMPPMJ55XXX
				LC DN:	cn=invfunds.ou=80a.o=creschzz
				SPSA:	80000001

4. The LC Data Manager Input Authorise User must provide reason(s) for rejection in the form of freeform text.

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 @ synuat143 synuat143 🗸 🂢
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	× REJECT VAPPROVE
AM: APPROVED ~	Comment	TATUS:INACTIVE
FUND PROFILE DETAILS: 		SynComp501 549300N60/ETRG5N384 DTCCME0R00X
GLOBAL CUSTODIAN DETAILS: GC BIC: Fund Account at GC: GC Name: GC LEI: GC DN: GC's Account at LC:	Cance	Con-invituads.col=008.coversectu2 300013 SynComp521 C00016 8219448D232HTFCR421 JMPPH/JSSOCX con-invituads.cou=08.coversectu2 80000001

5. Then the LC Data Manager Input Authorise User must submit the rejection reason(s) by clicking "Submit".

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 (@) synuat143 synuat143 🧹 🂢
← Back Fund Details: FUND ID 555555		
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	× REJECT VAPPROVE
AM:APPROVED ~	Change the GC account at LC	TATUS:INACTIVE
FUND PROFILE DETAILS:		
Fund Effective Date:		SynComp501 549300N66LYETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:	Cancel S	ubmit
GC BIC:		
Fund Account at GC:		300013
GC Name:		SynComp521
GC LEI:		C00016
GC's Account at LC:		621344ABC32JRTFGR421
	LUDIC:	JMPPMJ55XXX
	LC UN: SPSA-	cn=invtunds;ou=80a,o=creschzz
		0000001

- 6. The LC Data Manager Input Only User will be informed in two ways:
  - a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting LC Maker Approval"
  - b. Funds List view: increased counter under "Awaiting LC Maker Approval", changed icon from 'O' to '—' in the LC column, and changed status to "LC Checker Rejected"

# 5.2 Fund Profile Creation

A pre-requisite for fund profile creation is that the fund has been successfully onboarded, i.e., approved by the AM, GC, and LC. Each fund must have at least one fund profile associated with it. The AM has the choice to whether onboarding further fund profile to the first fund onboarded or onboard another fund.

Fund Profile Creation follows the same flow for AMs / GCs / LCs as Fund Onboarding, where information can be found in Fund Onboarding section earlier.

The AM Data Manager Input Only User can navigate to the Funds List view and click on the particular fund to which they want to add a fund profile by clicking the "+ Add Fund Profile" button. After AM Data Manager Input Only User clicks the "+ Add Fund Profile" button, the AM Data Manager Input Only User will be brought to a fund profile information page on which to provide details. Fund profile information is displayed on one screen. The fund effective date inputted by the AM Data Manager Input Only User must be >=T+1.

KEX Synapse				🗎 26 Aug	gust 2022 ④ synuat001 sy	nuat001 ~
k Fund Details: FUND ID 55555	55				1	+ Add Fund
Y FUND DETAILS FUND PR	ROFILE 1 FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	FUND PROFILE 6	FUND PROFILE 7	FUND P
JND PROFILE STATUS:						
AM MAKER: APPROVED	AM CHECKER: APPROVED - G	:APPROVED ~	LC:APPROVED ~	STATUS: ACTIVE	DEACTIVAT	E
FUND PROFILE DETAILS:		ASSET	IANAGER DETAILS:			
Fund Effective Date:	2021-06-05	AMIN	lame:		SynC	Comp501
		AM L	EI:		549300N66LYET	IGSH384
		AM E	BIC:		DTCCM	EORXXX
GLOBAL CUSTODIAN DETAILS:		AM D	)N:		cn=invfunds,ou=80a,o=	creschzz
GC BIC:	FIVCGB21XXX	LOCAL	USTODIAN DETAILS:			
Fund Account at GC:	662194	Inves	itor ID:			600002
GC Name:	SynComp511	I.C.N	ame:		Syn(	Comp522
GC LEI:	222200N66LBBAAGSH888	LC C	CASS ID:		-,	C00033
GC DN:	cn=invfunds,ou=80a,o=creschzz					
		LC L	EI:		5493005HANGSE8	S8XEE42
		LC L LC B LC D	EI: IC: N:		5493005HANGSE HASEH cn=invfunds,ou=80a,o=	88XEE42 KHHXXX creschzz
KEX Synapse			EE C: N:	편 26 Aug	s493005HANGSE HASEH cn-im/funds.ou=80a.o= 1022 (§ synuat001 sy	nuat001 ~
KEX Synapse Power of Connectivity.	*investor ID ;		cl: C: N:	1 26 Aug 600002	s493005HANGSE HASEH cn-imfunds.ou=80a.o= gust 2022 @ synuat001 sy	saxEE42 KHHXXX creschzz nuat001 ~ Cancel
KEX Synapse Power of Connectivity.	* Investor ID : SP5A:		EP: CC: No:	₫ 26 Aug 600002 8000002	5493005HANGSE HASEH cn-imfunds.ou=80a.o=	saxEE42 KHHXXX creschzz
KEX Synapse Power of Connectivity.	* Investor ID : SPSA: LC Name :		ele (Cc: Ne:	€ 26 Aug 600002 80000002 5)mComp522	s493005HANGSE HASEH cn-imfunds.ou=80a.o=	saxEE42 krHxXX creschzz
KEX Synapse Power of Connectivity.	* Investor ID : SPSA: LC Name : LC CCASS ID :		EI: C: N:	€ 26 Aug 680002 8000002 SynComp522 C0033	s493005HANGSE HASEH cn-imfunds.cu=80a.ce	nuat001 ~ Cancel
KEX Synapse Power of Connectivity.	*Investor ID : SP5A: LC Name : LC CCASS ID : LC LEI :		ER (C: N:	26 Aug 600002 80000002 SymComp522 C0003 5493005HANGSE88XEE42	s493005HANGSE HASEH cn-imfunds.cu=80a,c=	nuat001 ~ Cancel
KEX Synapse Power of Connectivity.	*Investor ID : SP5A: LC Name : LC CCASS ID : LC LEI : LC EI : LC EI C :		EP: C: N: 	26 Aug 600002 SynComp522 C0003 5493005HANGSE88XEE42 HASEHH9HD0X	s493005HANGSE HASEH cn-imfunds.cu=80a.ce	nuat001 ~ Cancel
KEX Synapse Power of Connectivity.	<pre>*Investor ID : SP5A: LC Name : LC CCASS ID : LC LEI : LC BIC : LC BIC : LC DN : </pre>		EP. CC: N: 	© 26 Aug 600002 SymComp522 C00033 5493005HANOSE68XEE42 HASEHR9H3CX infunds,ou-90a,o-creschzz	s493009HANGSE HASEH cn-invfunds.cu=80a,c=	nuat001 ~ Cancel
KEX Synapse Power of Connectivity.	*Investor ID : SP 5A: LC Name : LC CASS ID : LC LEI : LC BC : LC DN : FUND PROFILE PROCESSING DETAILS :		EP. CC: N: CC: CC: CC: CC: CC: CC:	© 26 Aug 600002 SynComp522 C00033 5493005HANOSE88XEE42 HASEH9490XX in/funds.ou-60a.o-sreschzz	s493009HANGSE HASEH cn-imfunds.cu=80a,c=	nuat001 v Cancet

# **5.3 Delete Fund Creation**

If the AM Data Manager Input Only User wants to remove a fund (including the fund details and the fund profile associated) that is no longer valid, they can delete the fund and its initial fund profile prior to the AM Data Manager Input Authorise User's approval.



#### 5.3.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

- 1. Once the fund has been created, one initial fund profile will automatically be created along with it.
- If the fund created by the AM Data Manager Input Only User is pending approval by AM Data Manager Input Authorise User or was rejected by the AM Data Manager Input Authorise User then the AM Data Manager Input Only User can either amend/edit the fund details (for rejection scenario) or delete the fund prior to creation.

wer of Connectivity.				🖿 26 August 2022 🕃 synuat001 synuat00
nboarding Details: FUND ID 553181				← Back t
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved 🗸	AM Checker: Pending Approval	GC:Pending	LC:Pending	Status: Inactive
EUND DETAILS			FUND PROFILE 1 DETAILS	
1				
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 3181		Fund Account at GC:	543181
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:	HK		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	553181			
Fund Alternative ID (Optional):	(((((		1	
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	200012
			LC Name:	500015 SunComp521
Settlement Mode - Buy Trade:	DVP		LC CCASS ID:	C00016
Settlement Mode - Sell Trade:	DVP		LCLER	621244ABC22 IDTECD421
			LC BIC:	IMDDM I55YYY
FUND PROFILE PROCESSING DETAILS:			LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-05		SPSA:	80000001
I i una checure pale.	2021-00-03			0000001

a. Fund is still pending approval by AM Data Manager Input Authorise User

b. Fund is rejected by AM Data Manager Input Authorise User

oarding Details: FUND ID 553181			←Ba
Onboarding Status:			× Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × •	GC:Pending LC	:Pending Status:Inactive
FUND DETAILS	Z Edit	FUND PROFILE 1 DE	TAILS
1		CLOBAL CUSTODIAN D	TAU C.
FUND DETAILS:		GEOBAE COSTODIAN D	LIAILS:
		GC Name:	SynComp5
Fund Name:	Fidelity Asia Fund 3181	Fund Account at GC:	5431
Fund LEI:	549300N66LYE1IGSH359	GC LEI:	222200N66LBBAAGSH8
Fund Umbrella:	Fidelity Global Fund	GC BIC:	FIVCGB21XX
Fund Domicile:	HK	GC DN:	cn=invfunds,ou=80a,o=cresch:
Fund ID:	553161		
Fund Alternative ID (Optional):	111111	1	
		LOCAL CUSTODIAN DE	AILS:
DEFAULT SETTLEMENT MODE:		Investor ID:	3000
		LC Name:	SvinComp5
Settlement Mode - Duy Irade:	DVP	LC CCASS ID:	C000
Settlement Mode - Sell Ifade:	DVP	LC LEI:	6213444BC32.IRTEGR4
		LC BIC:	IMPPM155X
FUND PROFILE PROCESSING DETAILS:		LC DN:	cominutures our 80a our resch
	2004 00 05	SPSA-	800000

3. If the AM Data Manager Input Only User chooses to delete the fund creation, then they click "Delete Fund Creation" on the details view.

oarding Details: FUND ID 553181			
Onboarding Status:			X Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × 0	GC:Pending LC:Pendir	ng Status: Inactive
FUND DETAILS	1.50	FUND PROFILE 1 DETAILS	4 54
	2 Con		
FUND DETAILS:		GLOBAL CUSTODIAN DETAILS:	
		GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 3181	Fund Account at GC:	543181
Fund LEI:	549300N66LYE11GSH359	GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Global Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:	НК	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	553181		
Fund Alternative ID (Optional):	777777		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Cattlement Made Duy Tender	DVD	LC Name:	SynComp521
Settlement Mode - Duy Irade:	DVP	LC CCASS ID:	C00016
settlement wode - sen Trade:	DVP	LC LEI:	621344ABC32JRTEGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
FUND PROFILE PROCESSING DETAILS:		LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-05	SP SA:	8000001
Fund Effective Date:	2021-06-05	SPSA:	800000

4. Once that button is clicked, then the fund and the initial fund profile will be deleted. When the AM Data Manager Input Only User goes back to the Funds List view, then the fund will no longer be listed.

HKEX The Power of C	Synapse connectivity. ashboard	Settlement Ir	structions	Funds		Relationships	Ma	arket D	⊟ 26 ata	i August 2022 ④ synuat001 synuat Reports	001 - 🗙
FUNDS	2 Awaiting AM Che	ecker Approval	1 Awaiting GC Approval	<b>1</b> Awaiting LC Approval	<u>,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,</u>					Q Search Generate Report	+ New Fund
FUND ID A T	FUND NAME A T	GC NAME A T	FUND ACCOUNT AT GC	INVESTOR ID A T	SPSA A T	FUND EFFECTIVE DATE	AM ^	GC △	LC ≏		
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	× .	~	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	× .	~	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	×	~	~	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	×	~	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	×	1	•	LC Maker Rejected	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	×	~	1	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	× .	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	×	~	~	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	1	1	1	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	~	~	Active	DETAILS >

## 5.4 Delete Fund Profile Prior to AM Data Manager Input Authorise User's Approval

When a fund is successfully onboarded, i.e., approved by all buy side participants, then one initial fund profile is automatically created. If the AM Data Manager Input Only User creates a fund profile that is no longer valid, they can delete the fund profile prior to the AM Data Manager Input Authorise User's approval or after the fund profile was rejected by the AM Data Manager Input Authorise User. To delete one fund profile, the fund must be active and have two fund profiles. A fund is considered active when it has at least one fund profile associated with it.



#### 5.4.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

1. When the AM Data Manager Input Only User is on the Funds List view, they can click "Details" to go to the Fund Profile view of the fund profile that they would like to delete.

HKEX The Power of C	Synapse			2					₿ 26	6 August 2022 ⓒ synuat001 synua	1001 - 💢
Da	ashboard	Settlement In	structions	Funds		Relationships	Ма	rket C	ata	Reports	
FUNDS	<b>2</b> Awaiting AM Che	ecker Approval	1 1 Awaiting GC Approval Awa	iting LC Approval						Q. Search Generate Report	+ New Fund
FUND ID A 🔻	FUND NAME A 🔻	GC NAME A 7	FUND ACCOUNT AT GC 7		SPSA A 🔻	FUND EFFECTIVE DATE	AM ^	GC △	LC △	STATUS A 🔻	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	×	× .	× .	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	8000002	2021-06-05	×	× .	× .	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	×	1	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	× -	× .	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	× .	•	LC Maker Rejected	DETAILS
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	~	1	1	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	×	-	-	AM Approved	DETAILS
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	~	~	~	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	×	1	1	Active	DETAILS
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	~	1	Active	DETAILS >

2. The AM Data Manager Input Only User can click "Delete Fund Profile" on the Fund Profile view.

HKEX S	ynapse <sup>rectivity.</sup>	<u> </u>				8	26 August 2022 ③ synuat001 synuat001 🗸 🂢
← Back Fund Deta	ils: FUND ID 555555						+ Add Fund Profile
KEY FUND DETAIL	S FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	FUND PROFILE 6	FUND PROFILE 7
FUND PROFIL	E STATUS: MAKER:APPROVED /	AM CHECKER:PE	ENDING APPROVAL	GC:PENDING	) LC:P	ENDING	× DELETE FUND PROFILE STATUS: INACTIVE
FUND PRO	FILE DETAILS:			AS	SET MANAGER DETAILS		
Fund E	iffective Date:		2021-06-05		AM Name: AM LEI: AM BIC: AM DN:		SynComp501 549300N66LYETIGSH384 DTCCMEORXXX cn=invfunds,ou=80a,o=creschzz
GC BI			FIVCGB21XXX	LO	CAL CUSTODIAN DETAIL	S:	
Fund A	ccount at GC:		546271		Investor ID:		300013
GC Na	me:		SynComp511		LC Name:		SynComp521
GC LE	:		222200N66LBBAAGSH888		LC CCASS ID:		C00016
GC DN	:	cn=	invfunds,ou=80a,o=creschzz		LC LEI:		621344ABC32JRTFGR421
					LC BIC:		JMPPMJ55XXX
					LC DN:		cn=invfunds,ou=80a,o=creschzz
					SPSA:		80000001

3. The AM Data Manager Input Only User can delete a fund profile either prior to AM Data Manager Input Only Authorise User's approval or after AM Data Manager Input Only Authorise User's rejection.

# 5.5 Deactivation of an Active Fund or Fund Profile

A fund and its fund profile are considered active after the AM, GC, and LC have all approved the fund onboarding. The AM Data Manager Input Only User can choose to deactivate an active fund or fund profile. Please note the fund can only be deactivated after 31 days if it is created by LC re-appointment.



#### 5.5.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

1. The AM Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen. 2. The AM Data Manager Input Only User can navigate to the Funds List view by clicking the "Funds" tab.

HKEX The Power of C	Synapse			3					<b>=</b> 2	5 August 2022 ③ synuat001 synua	1001 ~ 💢
Da	ishboard	Settlement In	structions	Funds		Relationships	Ma	ırket C	Data	Reports	
FUNDS	<b>2</b> Awaiting AM Che	cker Approval	1 1 Awaiting GC Approval Av	vaiting LC Approval						Q Search Generate Repor	t + New Fund
FUND ID A 🔻	FUND NAME A T	GC NAME * *	FUND ACCOUNT AT GC 7	INVESTOR ID * *	SPSA 🏾 🔻	FUND EFFECTIVE DATE	AM ^	GC ^	LC 🌢	STATUS A T	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	×	× .	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	×	× .	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	~	~	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	×	× .	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	×	× .	•	LC Maker Rejected	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	×	~	× .	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	×	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	×	~	× .	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	×	× .	× .	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	×	1	1	Active	DETAILS >

- 3. The AM Data Manager Input Only User can select an active fund and navigate to the Fund Details view by clicking "Details" on the Funds List view.
- 4. On the Fund Details view, the AM Data Manager Input Only User can click "Deactivate".

Back Fu	nd Details:	FUND ID 555555						+ Add Fund
Y FUND (	DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	FUND PROFILE 6	FUND PROFILE 7
FUND P	ROFILE S	TATUS:						
	AM MAK	ER: APPROVED ~	AM CHECKER: APP	PROVED	GC:APPROVED ~	LC: APPROVED ~	STATUS: ACT	DEACTIVATE
F	UND PROFILI	E DETAILS:				ASSET MANAGER DETAILS:		
	Fund Effec	tive Date:		2021-06-0	5	AM Name:		SynComp501
						AM LEI:		549300N66LYETIGSH384
						AM BIC:		DTCCMEORXXX
G	LOBAL CUST	TODIAN DETAILS:				AM DN:		cn=invfunds,ou=80a,o=creschzz
-	CC RIC:			ENCOR21XX	Y	LOCAL CUSTODIAN DETAILS:		
	Fund Acco	unt at GC:		54627	0			
	GC Name:			SynComp51	1	Investor ID:		300013
	GC LEI:			222200N66LBBAAGSH88	8	LC Name:		SynComp521
	GC DN:		cn=	invfunds,ou=80a,o=creschz	z	LC LEN		6212444BC22 IDTECD421
						LC BIC:		IMPPM/55XXX
						LC DN:		coaipyfunds qua80a gacreschzz

5. A pop-up window requesting the fund deactivation effective date will appear. The effective date must be future date (i.e., 1 business day after the current date).

HKEX Synapse The Power of Connectivity.	nuat001 synuat001 🗸 🗙
REVENTION DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 FUND PROFILE 4 FUND PROFILE 5 FUND PROFILE 5 FUND PROFILE 5 FUND PROFILE 5	F 7
FUND PROFILE STATUS:	
AM MAKER: APPROVED / AM CHECKER: APPROV FUND DEACTIVATION: VED / STATUS: ACTIVE	DEACTIVATE
FUND PROFILE DETAILS: Please specify fund deactivation effectivation date.	
Fund Effective Date:	SynComp501 ION66LYETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:	ou=80a,o=creschzz
GC BIC: EVCGB21XXX LOCAL CUSTODIAN DETAILS:	
Fund Account at GC: 546270 Investor (D:	300013
GC Name: SynComp511 LC Name:	SynComp521
GC LEI: 222200/N6L/BBAAGSH888 LC CCASS ID:	C00016
LC LEI: 621344	4ABC32JRTFGR421
LC BIC:	JMPPMJ55XXX
LC DN: cn=invfunds	ou=80a,o=creschzz

- 6. The AM Data Manager Input Only User adds the fund deactivation effective date submits the fund status deactivation request by clicking "Deactivate". The AM Data Manager Input Authorise User will be informed in one way:
  - a. Funds List view: the AM column will have a 'O' icon and the status column will show "Inactivation Pending Approval"

HKEX The Power of C	Synapse					🖻 26 August 2022 @ synuat003 synuat003 🗸 💢					
Dashboard		Settlement Instructions		Funds	Relationships		Market Data			Reports	
FUNDS	<b>2</b> Awaiting AM Che	cker Approval	1 Awaiting GC Approval	1 Awaiting LC Approval						Q Search Generate Repo	rt + New Fund
FUND ID 4 🔻	FUND NAME 4 🔻	GC NAME A 7	FUND ACCOUNT AT GO	INVESTOR ID A T	SPSA 🏾 🔻	FUND EFFECTIVE DATE	AM <sup>4</sup>	GC △	LC 🌢	STATUS A 🔻	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	8000000	2021-06-05	~	~	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12	•	~	1	Inactivation Pending Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	~	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	~	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	~		LC Maker Rejected	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	~	~	~	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	~	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	~	1	~	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	~	~	1	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	×	~	Active	DETAILS >

#### AM Data Manager Input Authorise User:

- 1. The AM Data Manager Input Authorise User will be informed the fund or fund profile deactivation in one way:
  - a. Funds List view: the AM column will have a 'O' icon and the status column will show "Inactivation Pending Approval"
- 2. The AM Data Manager Input Authorise User can either reject or approve the deactivation request.
  - a. If the AM Data Manager Input Authorise User rejects the deactivation request by clicking "Reject", then the process ends there. The icon will change from a 'O' to

#### '**√**' **HKEX Synapse** 🗄 26 August 2022 ④ synuat003 synuat003 ck Fund Details: FUND ID 555555 FUND PROFILE 7 KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 FUND PROFILE 4 FUND PROFILE 5 FUND PROFILE 6 X REJECT ZAPE FUND PROFILE STATUS: AM MAKER: APPROVED ~ AM CHECKER: FUND PROFILE DEACTIVATION PENDING APPROVAL GC: APPROVED ~ LC:APPROVED -STATUS: ACTIVE FUND PROFILE DETAILS: ASSET MANAGER DETAILS AM Name: Fund Effective Date: 2021-06-12 549300N66 AM BIC: AM DN: GLOBAL CUSTODIAN DETAILS: LOCAL CUSTODIAN DETAILS FIVCGB21XXX Investor ID: LC Name: LC CCASS ID LC LEI: LC BIC: LC DN: SPSA: Fund Account at GC: 552194 GC Name GC LEI: GC DN: SynComp511 S6LBBAAGSH888 vfunds.ou=80a.o=creschzz

- b. If the AM Data Manager Input Authorise User approves the deactivation request by clicking "Approve", then the fund or fund profile will become deactivated on the effective date provided by the AM Data Manager Input Only User
- 3. The AM Data Manager Input Only User will be notified the fund or fund profile deactivation in one way:
  - a. Funds List view: changed status to "Inactivation Approved"
    - 1. Note: on the effective date, the status will change to "Inactive" on the Funds List view

#### Notification for Global Custodian (GC) and Local Custodian (LC):

- 1. The GC Data Manager Input Only User, GC Data Manager Input Authorise User, and LC Data Manager Input Only User, LC Data Manager Input Authorise User will be informed of the fund profile deactivation and its effective date in two ways:
  - Funds List view: changed status to "Inactivation Approved" Note: on the effective date, the status will change to "Inactive" on the Funds List view
  - b. UI Notification on Dashboard page under Funds

# 5.6 Edit Fund Details of an Active Fund

A fund and its fund profile are considered active after the AM, GC, and LC have all approved the fund onboarding. The AM Data Manager Input Only User can edit specific fund details and submit the edited fund details to the AM Data Manager Input Authorise User for approval.



#### 5.6.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

1. The AM Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen. The AM Data Manager Input Only User can navigate to the Funds List view by clicking the "Funds" tab.

HKEX Synapse The Power of Connectivity. Dashboard		Settlement Instructions Funds			Relationships			🖻 26 August 2022 @ symuat001 symuat001 ~ 🗙 Market Data Reports				
FUNDS	<b>2</b> Awaiting AM Che	ecker Approval	1 Awaiting GC Approva	1 Awaiting LC Approval						Q. Search Generate Report	+ New Fund	
FUND ID 4 T	FUND NAME A T	GC NAME A T	FUND ACCOUNT AT G	GC <sup>▼</sup> INVESTOR ID <sup>▲</sup> <sup>▼</sup>	SPSA ≜ ▼	FUND EFFECTIVE DATE 4 T	AM <sup>A</sup>	GC ≜	LC ^	STATUS A T		
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	~	1	1	Active	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12	•	1	1	Inactivation Pending Approval	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	~	~	Active	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	~	~	Active	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	1	•	LC Maker Rejected	DETAILS >	
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >	
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >	
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	~	~	~	Active	DETAILS >	
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	× .	-	-	AM Approved	DETAILS >	
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	~	~	~	Active	DETAILS >	
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	× .	~	1	Active	DETAILS >	
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	× .	~	× .	Active	DETAILS >	

2. The AM Data Manager Input Only User can select an active fund and navigate to the Fund Details view by clicking "Details" on the Funds List view.
| ID DETAILS FUND PROFILE 1 |                        |   |                |            |
|---------------------------|------------------------|---|----------------|------------|
| FUND STATUS:              |                        |   |                |            |
| AM MAKER: APPROVED -      | AM CHECKER: APPROVED - |   | STATUS: ACTIVE | DEACTIVATE |
|                           |                        | FUND DETAILS:   |                |            |
|                           |                        | Fund Name: Fidelity Asia Fund<br>Fund LEI: 549302N46LVETIOS3481       |                |            |
|                           |                        | Fund Umbrella: Fidelity Global Fund<br>Fund Domicile: US              |                |            |
|                           |                        | Fund ID: 523401 Fund Alternative ID (Optional): 777777                |                |            |
|                           |                        | DEFAULT SETTLEMENT MODE:  |                |            |
|                           |                        | Settlement Mode - Buy Trade: DVP<br>Settlement Mode - Sell Trade: DVP |                |            |
|                           |                        | FUND PROCESSING DETAILS:  |                |            |
|                           |                        | Fund Effective Date: 2021-06-05                                       |                |            |

3. The AM Data Manager Input Only User can click "Edit" to edit specific fields of the fund details and submit for approval to the AM Data Manager Input Authorise User.

* Fund Name :	Fidelity As
Fund LEI :	549302N66LYETIGS
Fund Umbrella :	Fidelity Global
Fund Domicile :	
* Fund ID :	
Fund Alternate ID :	
EFAULT SETTLEMENT MODE :	
* Settlement Mode - Buy Trade :	
* Settlement Mode - Sell Trade :	

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund LEI	Legal Entity Identifier for the Fund	String	20	0	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	0	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1- alpha-2 code	String	2	0	2 characters
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	0	N/A
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	М	#N/A
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	М	3 characters

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund Effective Date	The date from which the fund is active on the system	Date	20	Μ	YYYY-MM- DD

- 4. The AM Data Manager Input Authorise User will then be notified for their approval in one way:
  - a. Funds Details view: changed status to "Pending Amendment Approval"

#### AM Data Manager Input Authorise User:

AM Data Manager Input Authorise User can either approve or reject the edition submitted by AM Data Manager Input Only User. If AM Data Manager Input Authorise User rejects, then the process ends there. If AM Data Manager Input Authorise User approves, then the fund details or fund profile is updated.

und Details: FUND ID AM User Or	P			- A
DETAILS FUND PROFILE 1				
UND STATUS:				* REJECT APPROVE
AM MAKER: APPROVED	AM CHEC	KER: PENDING APPROVAL		STATUS: PENDING AMENDMENT APPROVAL
		FUND DETAILS:		
		Fund Name:	UBS Asia Fund	
		Fund LEI: 54	9300N66LYETIGSH430	
		Fund Umbrella:	UBS Global Fund	
		Fund Domicile:	US AM Lines One	
		Fund Alternative ID (Optional	: AM_User_One	
		DEFAULT SETTLEMENT MO	DE:	
		Settlement Mode - Buy Tr	ade: DVP	
		Settlement Mode - Sell Tr	ade: RDP	
		FUND PROCESSING DETAIL	S:	

# 5.7 Funds List View for Buy Side Participants

The Funds List view provides an overview of the buy side participants' funds and specific details.

#### 5.7.1 Asset Managers (AM)

Field Name	Description
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems
Fund Name	The Legal Entity name of the Fund
GC Name	Name of Global Custodian
Fund Account at GC	Fund account at GC per successful fund onboarding
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account

Field Name	Description
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

# 5.7.2 Asset Manager Outsourcing Operator (AMOO)

Field Name	Description
AM Name	Name of Asset Manager
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems
Fund Name	The Legal Entity name of the Fund
GC Name	Name of Global Custodian
Fund Account at GC	Fund account at GC per successful fund onboarding
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

## 5.7.3 Global Custodians (GC)

Field Name	Description
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other
	systems
Fund Name	The Legal Entity name of the Fund
Fund Account at GC	Fund account at GC per successful fund onboarding
AM Name	Name of Asset Manager
GC's Account at LC	Account No. for Global Custodian at Local Custodian
LC Name	Name of Local Custodian
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by
	CCASS
SPSA	Special Segregated Account
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

## 5.7.4 Local Custodians (LC)

Field Name	Description
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems
GC Name	Name of Global Custodian

Field Name	Description
GC's Account at LC	Account No. for Global Custodian at Local Custodian
Investor ID	Investor ID for the Fund. Is a unique number assigned to each SPSA account by CCASS
SPSA	Special Segregated Account
Fund Effective Date	The date from which the fund is active on the system
AM Status	Status of AM approvals
GC Status	Status of GC approvals
LC Status	Status of LC approvals
Status	Overall status of fund

# 5.8 LC Re-Appointment

The GC Data Manager Input Only User is the only participant who can initiate an LC reappointment for a specific fund profile. Pre-requisites include that the fund has to be active and onboarded on Synapse, i.e., the fund has to be approved by the AM, GC, and LC. The purpose of LC re-appointment is for GC to appoint another LC. If the GC need to have a new fund profile with same LC but different Investor ID, the buy-side chain should use "Add New Fund Profile" function which should be initiated by AM.



#### 5.8.1 Global Custodians (GC)

Approval by GC Data Manager Input Only User; Approval by GC Data Manager Input Authorise User:

#### GC Data Manager Input Only User:

1. The GC Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen. 2. The GC Data Manager Input Only User can navigate to the Funds List view by clicking the "Funds" tab.

HKEX The Power of	Synapse			S						•	26 Aug	ust 2	022 @ synuat071 synuat071	~ <b>X</b>
l	Dashboard	Settlement Instru	ctions	Funds		Relations	hips		Market (	Data			Reports	
FUNDS	<b>1</b> Awaiting G	O GC Maker Approval Awaiti	ing GC Check	1 er Approval Awaiting LC	C Approval								Q Search Gene	erate Report
FUND ID A 🔻	FUND NAME A 🔻	FUND ACCOUNT AT GC 4 7	AM NAME - *	GC'S ACCOUNT AT LC * *	LC NAME * *	INVESTOR ID A T	SPSA ^ *	FUND EFFECTIV	E DATE - T	AM <sup>a</sup>	GC △	LC △	STATUS A 🔻	
555555	Fidelity Asia Fund	542194	SynComp501	762194	SynComp521	300013	80000001	2021-06-05		× .	~	<ul> <li></li> </ul>	Active	DETAILS >
552014	Fidelity Asia Fund	542014	SynComp501	762014	SynComp521	300013	80000001	2021-06-05		1	1	× .	Active	DETAILS >
552102	Fidelity Asia Fund 2102	542102	SynComp501	762102	SynComp521	300013	80000001	2021-06-05		× .	× .	<ul> <li></li> </ul>	Active	DETAILS >
555555	Fidelity Asia Fund	546270	SynComp501	123456789	SynComp521	300013	80000001	2021-06-05		× .	× .	× .	Active	DETAILS >
555555	Fidelity Asia Fund	546272	SynComp501	762456	SynComp521	600002	80000001	2021-06-05		× .	× .	× .	Active	DETAILS >
AM_User_One	UBS Asia Fund	8004872	SynComp501	123456789	SynComp521	300013	80000000	2021-06-05		× .	× .	× .	Active	DETAILS >
555555	Fidelity Asia Fund	546270	SynComp501	762456	SynComp521	300013	80000001	2021-06-05		× .	× .	•	LC Maker Rejected	DETAILS >
AM_User_One	UBS Asia Fund	8004873	SynComp502		SynComp521	300013	80000000	2021-06-05		× .	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	552194	SynComp501	752194	SynComp522	600002	80000002	2021-06-12		•	~	× .	Inactivation Pending Approval	DETAILS >

- 3. The GC Data Manager Input Only User can select an active fund for which they want to reappoint the LC and navigate to the Fund Details view by clicking "Details" on the Funds List view.
- 4. The GC Data Manager Input Only User will then click "Fund Profiles" to go to the Fund Profiles page. In the LC Details section, they will see a "Reappoint" button.

	EFUND ID 555555					
FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2 FUND	PROFILE 3 FUND	PROFILE 4 FUN	D PROFILE 5	
UND PROFILE	STATUS:					
AM: AF	PROVED	GC MAKER: APPROVED ~	GC CHECKER:	APPROVED ~	LC: APPROVED -	STATUS: ACTIVE
FUND PROFI	LE DETAILS:			ASSET MA	NAGER DETAILS:	
Fund Effe	uctive Date:		2021-06-05	AM Na	me:	SynComp501
	cuve Date.					
	cuve bute.			AM LE	l:	549300N66LYETIGSH384
	cuve bate.			AM LE AM BR	6 21 •	549300N66LYETIGSH384 DTCCMEORXXX cn=invfunds.ou=80a.o=creasch27
GLOBAL CU	STODIAN DETAILS:			AM LE AM BR AM DN	6 22 6	549300N66LYETIGSH384 DTCCMEORXXX cn=invfunds,ou=80a,o=creschzz
GLOBAL CU	STODIAN DETAILS:		EN/COD24777	AM LE AM BR AM DN LOCAL CL	I: C: : STODIAN DETAILS:	549300N66LYETIGSH384 DTCCMEORXXX cn=invfunds,ou=80a,o=creschzz Reappoint
GLOBAL CUS GC BIC: Fund Acc	STODIAN DETAILS:		FIVCGB21XXX	AM LE AM BK AM DN	I: :: ISTODIAN DETAILS:	549300N6ELVPTIGSH34 DTCCMEORXXX cn=invfunds.ou=80a.ourceschzz Reappoint
GLOBAL CUS GC BIC: Fund Acc GC Name	STODIAN DETAILS:		FIVCGB21XXX 542194 SynComp511	AM LE AM BK AM DK LOCAL CL Invest	I: :: ISTODIAN DETAILS: pr ID:	548300N66LYETIGSH384 DTCCMEORXXX cn=invfunds.ou=80a.o=creschzz Reappoint
GLOBAL CUS GC BIC: Fund Acc GC Name GC LEI:	STODIAN DETAILS:	2222001	FIVCGB21XXX 542194 SymComp511 I66LBBAA(SSH888	AM LE AM BK AM DK LOCAL CL Investi LC Nat	I: : ISTODIAN DETAILS: IV ID: ne: INFORM	549300N66LYETIDSH334 OTCCMECRXXX cn=im/funds.ou=80a,o=creschzz Reappoint 300013 SymComp521
GLOBAL CU GC BIC: Fund Acc GC Name GC LEI: GC DN:	STODIAN DETAILS:	2222000 cn=im/unds,	FIVCGB21XXX 542194 SynComp511 166LBBAAGSH888 u=86a,ecreschzz	AM LE AM BR AM DN LOCAL CL Investo LC Nat	I: 2: STODIAN DETAILS: br ID: ne: ASS ID:	549300464.VETOSH394 DTCCMCR0X0X cn=infutuds.ou=98.a.o=creachzz Reappoint 330013 SynComp521 C0016
GLOBAL CUS GC BIC: Fund Acc GC Name GC LEI: GC DN: GC's Acc	STODIAN DETAILS:	2222001 cn=in/funds.i	FIVCGB21XXX 542194 SynComp511 166LBBAAGSH888 Ju=80a,o=cresch22 762194	AM LE AM BR AM DN LOCAL CL Invest LC No LC CC LC LE	I: STODIAN DETAILS: Vr ID: No: SS ID: :	5490900681/ETIGSH394 DTCCMC602000 cn=infunding.ou=88a,o=creachize Reappoint 300013 SymComp521 cc00016 6213448633187FE0R421 c00016
GLOBAL CUS GC BIC: Fund Acc GC Name GC LEI: GC DN: GC's Acc	ount at CC:	2222000 cn=invfunds.j	FIVCGB21XXX 542194 SynComp511 I66LBBAAG54888 pu=50a,0=creschzz 762194	AM LE AM BM AM DM LOCAL CL Invest LC Na LC CC LC LE LC BE	I: 2: STODIAN DETAILS: or ID: ASS ID: 1: 2: 2: 2: 2: 2: 2: 2: 2: 2: 2	5493004642/FEIGS1334 DTCCMC60X0X en=infutuds.ou=80a.e=eresotzz Respont 300013 900mp521 c2194482052 c200165 62194482052 school bergentzt

- 5. The GC Data Manager Input Only User is required to update 3 fields for the new LC that the GC Data Manager Input Only User would like to reappointment:
  - a. "Investor ID"
  - b. "GC's Account at LC"
  - c. "Reappointment Effective Date"
  - d. Note:

(1) Other fields like "LC Name", "SPSA", "LC CCASS ID", "LC LEI", "LC BIC", and "LC DN" are automatically populated by Synapse.

(2) GC can only reappoint to a new LC with different Investor ID with the reappointment function. If a new profile with the same LC but different investor ID is required, the

function "Add New Fund Profile" initiated by AM should be performed.

					UND ID 555555	Fund Details: I
	FUND PROFILE 5	FUND PROFILE 4	2 FUND PROFILE 3	FUND PROFILE 2	FUND PROFILE 1	D DETAILS
SynComp5	LC Name:		SynComp511			GC Name:
C000	LC CCASS ID:		222200N66LBBAAGSH888			GC LEI:
621344ABC32JRTFGR4	LC LEI:		cn=invfunds,ou=80a,o=creschzz	cn=		GC DN:
JMPPMJ55XX	LC BIC:		762456		t at LC:	GC's Accou
cn=invfunds,ou=80a,o=crescha	LC DN:					
s000001	SPSA:	I				
source state	SPSA: NEW LOCAL CUSTODIAN DETAILS: To reapp "Investor ID: "GC's Account at LC:	I				
800000 ppoint the LC, provide the following information 3000 7624 2022-08-26	SPSA: NEW LOCAL CUSTODIAN DETAILS: To reapp "Investor ID: "GC's Account at LC: "Reappointment Effective Date:	I				
880000 ppoint the LC, provide the following information 3000 7624 2002-06-36 5 wrv.compt	SPSA: NEW LOCAL CUSTODIAN DETAILS: To reapp "Investor ID: "GC's Account at LC: "Reappointment Effective Date: LC Name:	I				
880000 ppoint the LC, provide the following information 77224 2022-06-26 59yrCompt 800000	SPSA: NEW LOCAL CUSTODIAN DETAILS: To reapp "meetor ID: "GC% Account at LC: "Respontment Effective Date: LC Name: SPSA: 	I				
880000 sppoint the LC, provide the following information 7624 2022-06-26 800000 800000 2000	SP5A: NEW LOCAL CUSTODIAN DETAILS: To reapp "Investor ID: "GCS Account at LC: "Reappointment Effective Date: LC Name: SP5A: LC CCASS ID: LC CCASS ID: LC CCASS ID:	I				
880000 sppoint the LC, provide the following information 7624 7647 7	SPBA: NEW LOCAL CUSTODIAN DETAILS: To reapp "revestor ID: "GC # Account at LC: "Reappointment Effective Date: LC Agenes: SPSA: LC CCAS SID: LC EE: LC EE: LC EE:					
880000 sppoint the LC, provide the following information 77242 2022-00-2 590000 6213440232,21FTGGC 6213440232,21FTGGC 6213440232,21FTGGC	SP5A: NEW LOCAL CUSTODIAN DETAILS: To reapp 'investor ID: 'GC's Account at LC: "Reappointment Effective Date: LC Name: SP5A: LC CCASS ID: LC LE: LC BIC: LC DIC: LC					
880000 sppoint the LC, provide the following information 3000 2022-08-26 39xrCompt 621344ABC32FTFCR4 JMPPMJSS2 cn=invfunds,ou=950,ouccesc1	SPBA: NEW LOCAL CUSTODIAN DETAILS: To reapp "Investor IID: "GC & Account at LC: "Reappointment Effective Date: LC Name: SPSA: LC CASS ID: LC LEI: LC BC: LC DN:					

6. After updating the details, the GC Data Manager Input Only User can then click "Submit".

HKEX Synapse The Power of Connectivity.			🖻 26 August 2022 🛞 synuat071 synuat071 🤟 💢
Gack Fund Details: FUND ID 55555	5		
KEY FUND DETAILS FUND PROF	ILE 1 FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FUND PROFILE 5	
GC Name:	SynComp511	LC Name:	SynComp521
GC LEI:	222200N66LBBAAGSH888	LC CCASS ID:	C00016
GC DN:	cn=invfunds,ou=80a,o=creschzz	LC LEI:	621344ABC32JRTFGR421
GC's Account at LC:	762456	LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
		SPSA:	8000001
		*Investor ID: *GC's Account at LC: *Reappointment Effec	300013 762458 ctive Date: 2022.08.76
		LC Name:	SynComp521
		SPSA:	8000001
		LC CCASS ID:	C00016
		LC LEI:	621344ABC32JRTFGR421
		LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
			Cancel Submit

#### GC Data Manager Input Authorise User:

- 1. The GC Data Manager Input Authorise User will be informed that they have to approve the LC reappointment in one way:
  - a. Funds Details View

2. The GC Data Manager Input Authorise User navigates from the Dashboard to the Funds tab, i.e., the Funds List view, and then the Fund Details view to approve.

HKEX Syr	napse		S			🗄 26 August 2022 🕲 synuat073 synuat073 🗸 💢
←Back Fund Details:	FUND ID 555555					
KEY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3 A	FUND PROFILE	FUND PROFILE 5	
FUND PROFILE S	TATUS:					
AM: API	PROVED	GC MAKER: APPROVED -	GC CHE	CKER: APPROVED ~	LC: APPROVED -	STATUS: ACTIVE
FUND PROFIL	E DETAILS:			^	SSET MANAGER DETAILS:	
Fund Effec	tive Date:		2021-06-05		AM Name:	SynComp501
					AM LEI:	549300N66LYETIGSH384
					AM BIC:	DTCCMEORXXX
					AM DN:	cn=invfunds,ou=80a,o=creschzz
GLOBAL CUST	TODIAN DETAILS:				LOCAL CLISTODIAN DETAILS: Reject LO	Passacistment Accept I.C. Deservisionet
GC BIC:			FIVCGB21XXX		COOKE OUD TO DAMA DE MILEO INEJECTED	Reappointment Accept to Reappointment
Fund Acco	ount at GC:		546272		Investor ID:	600002
GC Name:			SynComp511		LC Name:	SynComp521
GC LEI:		2	222200N66LBBAAGSH888		LC CCASS ID:	C00016
GC DN:		cn=in	vfunds,ou=80a,o=creschzz		LC LEI:	621344ABC32JRTFGR421
GC's Acco	unt at LC:		762456		LC BIC:	JMPPMJ55XXX
					LC DN:	cn=invfunds,ou=80a,o=creschzz
					SPSA:	8000001

- 3. If the GC Data Manager Input Authorise User clicks "Accept LC Reappointment", then the LC Data Manager Input Only User at the newly appointed LC is informed of the reappointment in two ways:
  - a. Dashboard view: increased counter in Fund Profiles section under "Awaiting LC Maker Approval"
  - b. Funds List view: increased counter under "Awaiting LC Maker Approval", changed icon from '—' to '√' in the AM column, changed icon from '—' to '√' in the GC column, and changed status to "GC Approved"

#### Approval by GC Data Manager Input Only User; Rejection by GC Data Manager Input Authorise User:

#### **Rejection by GC Data Manager Input Authorise User:**

1. The GC Data Manager Input Authorise User navigates from the Dashboard to the Funds tab, i.e., the Funds List view, and then the Fund Details view to reject by clicking "Reject LC Reappointment".

HKEX Sy The Power of Connec	napse <sup>tivity.</sup>	<u> </u>	S			🖻 26 August 2022 @ synuat073 synuat073 🗸 💢
eBack Fund Details:	FUND ID 555555					
KEY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	
FUND PROFILE S	STATUS:					
AM:AP	PROVED	GC MAKER: APPROVED	GC CHE	CKER: APPROVED -	LC: APPROVED ~	STATUS: ACTIVE
FUND PROFIL	E DETAILS:			AS	SET MANAGER DETAILS:	
Fund Effe	ctive Date:		2021-06-05		AM Name:	SynComp501
					AM LEI:	549300N66LYETIGSH384
					AM BIC:	DICCMEORXXX
GLOBAL CUS	TODIAN DETAILS:			1	All DR.	cir=inviands, du=dra, d=drasch22
				A	LOCAL CUSTODIAN DETAILS: Reject	t LC Reappointment Accept LC Reappointment
GC BIC:	ount at CC:		FIVCGB21XXX		Investor ID:	600002
GC Name:	ount at GC.		SynComp511		LC Name:	SvnComp521
GC LEI			222200M66LBBAAQSH888		LC CCASS ID:	C00016
GC DN:		cn=in	vfunds ou=80a o=creschzz		LC LEI:	621344ABC32JRTFGR421
GC's Acco	ount at LC:	01-1	762456		LC BIC:	JMPPMJ55XXX
					LC DN:	cn=invfunds,ou=80a,o=creschzz
					SPSA:	8000001

2. If the GC Data Manager Input Authorise User rejects the proposed LC reappointment, the process stops and no reappointment takes place.

HKEX Synapse				🖶 26 August 2022 ④ synuat073 synuat073 🗟
Back Fund Details: FUND ID 555555				
FUND DETAILS FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FU	IND PROFILE 5	
FUND PROFILE STATUS:				
AM: APPROVED ~	GC MAKER: APPROVED - GC CHI	ECKER: APPROVED ~	LC: APPROVED ~	STATUS: ACTIVE
FUND PROFILE DETAILS:		ASSET N	MANAGER DETAILS:	
Fund Effective Date:	2021-06-05	AM N	lame:	SynComp501
		AML	.EI:	549300N66LYETIGSH384
		AM E	BIC:	DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:		AM D	DN:	cn=invfunds,ou=80a,o=creschzz
GC BIC:	EIVCGB21XXX	LOCAL	CUSTODIAN DETAILS:	Reappoint
Fund Account at GC:	546272			coopo2
GC Name:	SynComp511	inves	stor ID:	600002
GC LEI:	222200N66LBBAAGSH888	LUN	ame:	SynComp521
GC DN:	cn=invfunds,ou=80a,o=creschzz	101	El.	621244ABC22 (PTEOP421
GC's Account at LC:	762456	ICB	IC:	JMPPMJ55XXX
		LC D	N:	cn=invfunds.ou=80a.o=creschzz

## 5.8.2 Local Custodians (LC)

LC Data Manager Input Only User and LC Data Manager Input Authorise User can refer to the fund onboarding sections to approve / reject the proposed LC Reappointment.

## 6. Accounts

## 6.1 Account Onboarding

To create a new account, EPs can start the self-service account creation process to onboard an account by creating Account Details so Synapse can use it for creating the SIs or STIs in CCASS.

An Account will be successfully onboarded when the EP and CP have approved the account submission.

#### 6.1.1 Exchange Participant (EP)





#### Approval by EP Data Manager Input Only User:

- 1. The EP Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Accounts tab, the EP Data Manager Input Only User can see the Accounts List view and can create an Account via the "+ New Account" button.

HKEX	Synapse					<b>=</b> 25	August 2022	(£) syn	uat211 synua	1211 - 🔀
D	ashboard	Settlement Instruc	tions Account	s	Relationships	Market Data			Reports	
ACCOUNT	S O Awaiting E	P Checker Approval	O Awaiting CP Approval				Q Search	Gener	ate Report	+ New Account
CP NAME 4 T	CP LEI * *	CP BIC 4 T	CP DN 4 T	CP CCASS ID 4 7	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	T EP	CP 4	STATUS A T	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2021-06-05	×	~	Active	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900547	2021-06-05	× .	~	Active	DETAILS
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900548	2021-06-05	× .	~	Active	DETAILS
SynLomp541	812/00000LAUSEKSH6/9	DICODEAGXXX	cn=invitunds.ou=804.o=creschzz	801110	900549	2021-09-03	у У	~	Active	DETAILS >

3. The EP Data Manager Input Only User will be asked to provide new account details.

- a. The EP Data Manager Input Only User must provide 3 fields:
  - i. CP Name
  - ii. EP's Account at CP
  - iii. Account Effective Date

HKEX Synapse The Power of Connectivity.		☐ 25 August 20.	22 (a) synuat211 synuat211 🗸
ew Account			Cancel Su
	Please provide the following information:		
	CP DETAILS:		
	* CP Name :	SynComp541 *	
	CP LEI:	812700N66LADSERSH679	
	CP BIC :	DTCCDEAGXXX	
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP CCASS ID :	B01110	
	ACCOUNT		
	Account		
	* FP's Account at CP :	000.199	
HKEX Synapse	*FP's Account at CP :		22 @ synual211 synual211 ~
HKEX Synapse he Power of Connectivity. v Account	*FP*A Account at CP :	200.255 25 August 20	22 @ synual211 synual211 ~ Cancel S
HKEX Synapse he Power of Connectivity. Account	*FP* Account at CP :	20005€ ☐ 25 August 20 612700H66LADSERSH679	22 @ synuat211 synuat211 ~ Cancel S
HKEX Synapse he Power of Connectivity. Account	*FP* Account at CP : CP LEI : CP BC :	EDUADS 25 August 20 612700H66LADSERSH679 DTCCDEAGXXX	22 @ synuat211 synuat211 ~ Cancel S
HKEX Synapse he Power of Connectivity. v Account	*FP*Account at CP : *FP*Account at CP : CP LEI : CP BIC : CP DI:	EDUADO 25 August 20 612700H6LADSERSH679 DTCCDEAQXXX cn=invfunds.gu=90a,o=creschzz	22 @ synual211 synual211 🧹 Cancel St
HKEX Synapse The Power of Connectivity. w Account	*FP*Account at CP : *FP*Account at CP : CP LEI : CP DI : CP CC : CP DI : CP CC : CP DI : CP CC : CP CC : CP DI : CP CC : CP CC : CP DI : CP CC	200058 25 August 20 812700H66LADSERSH679 DTCCDEAGXXX cn=invfunds.ou=80a.o=creschzz B0110	22 @ synual211 synual211 🗸
HKEX Synapse The Power of Connectivity w Account	*FP*Account at CP: *FP*Account at CP: CP LEI: CP DI: CP DI: CP CCASSID: ACCOUNT:	200058 25 August 20 812700H66LADSERSH679 DTCCDEAGXXX cn=invfunds.ou=50a.o=creschzz B0110	22 @ synual211 synual211 v
HKEX Synapse The Power of Connectivity. v Account	*FP's Account at CP : CP LEI : CP BC : CP DC : CP CASSID : ACCOUNT: *EP's Account at CP :	■ 25 August 20 ■ 25 August 20 B12700H68LADSERSH679 DTCCDEAQXXX cn=invfunds.ou=50a.o=creschzz B0110 900428	22 (a) synual211 synual211 v ) Cancest St
HKEX Synapse The Power of Connectivity. wr Account	<pre> *FP* Account at CP:  CP LEI: CP BIC: CP DIC: CP CASSID: ACCOUNT: *EP* Account at CP: ACCOUNT PROCESSING DETAILS: </pre>	■ 25 August 20 ■ 25 August 20 B12700M66LADSERSH679 DTCCDEAGXXX cm=im/kunds.ou=80a.o=cresktzz B0110 900428	22 (a) synual211 synual211 v Cancel St

Note: The Account to be created must not exist in Synapse onboarded Accounts in which semantic validation will be performed in specific fields that are marked as "Y" in the Contract Key column, otherwise the following error message will be shown when clicking "Submit". This is to ensure no duplicate Account can be created.

New Account		▲The record already exist.		Cancel Submit
Please	provide the following information:			
	CP DETAILS:			
	* CP Name :		SynComp205 *	
	CP LEI :		KBKRB5THACAR89U6TMC5	
	CP BIC :		SYNCOMP205X	
	CP DN :		cn=invfundd,ou=80d,o=creschzd	
	CP CCASS ID :		B01450	
	ACCOUNT:			
	" EP's Account at CP :		903008	

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
CP Name	The Legal Entity name of the CP	String	70	М	N/A	Ν
EP's Account at CP	Account No. for EP at CP	String	15	М	N/A	Y
Account Effective Date	The date from which the Sell side Account mapping is active on the system	Date	10	YYYY-MM- DD	N/A	N

\*Note: Fields that are "Y" for the Contract Key column would be required for semantic validation. For Accounts, Synapse validates if the EP's Account at CP is not existing in Synapse created accounts, and the EP's Account at CP would not be editable after submission.

- Once the EP Data Manager Input Only User has selected the Clearing Participant Name from a dropdown menu, 4 fields will be auto-populated by the Synapse application:
  - i. CP LEI
  - ii. CP BIC
  - iii. CP DN
  - iv. CP CCASS ID

Field Name	Description	Туре	Size	Mandator y or Optional (M/O)	Syntax Validatio n
CP LEI	Legal Entity Identifier for the Clearing Participant	String	20	N/A	N/A
CP BIC	BIC Code of Clearing Participant	String	11	N/A	N/A
CP DN	DN Code of Clearing Participant	String	52	N/A	N/A
CP CCASS ID	CCASS Participant ID of Clearing Participant	String	6	N/A	N/A

4. The EP Data Manager Input Only User will click "Submit", then the EP Data Manager Input Only User clicks "Back to Accounts" and will be brought back to the Accounts List view. Under the EP column, the 'O' represents that the EP Data Manager Input Only User has submitted the input and that it is pending the EP Data Manager Input Authorise User to approve.

HKEX The Power of	Synapse		$\langle \rangle$				<b>⊟</b> 2	25 August 2022 🕃 synuat211 synu	ial211 🗸 🔀
	Dashboard	Settlement In	structions A	counts	Relationship	s Market D	ata	Reports	
ACCOUNT	rs 1 Awaiting	EP Checker App	O roval Awaiting CP Approval					Q Search Generate Report	+ New Account
CP NAME 4 T	CP LEI A T	CP BIC A 🔻	CP DN * *	CP CCASS ID A T	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP 4	△ CP △ STATUS △ ▼	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2021-06-05	~	<ul> <li>Active</li> </ul>	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900547	2021-06-05	1	<ul> <li>Active</li> </ul>	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900548	2021-06-05	~	<ul> <li>Active</li> </ul>	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900549	2021-06-05	~	<ul> <li>Active</li> </ul>	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900428	2021-06-05	•	<ul> <li>Pending EP Checker Approv</li> </ul>	al DETAILS >

- 5. The EP Data Manager Input Authorise User will be informed about the Account creation in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting EP Checker Approval"
  - Accounts List view: increased counter under "Awaiting EP Checker Approval", changed icon from '—' to 'O' in the EP column, and changed status to "Pending EP Checker Approval"

#### Approval by EP Data Manager Input Authorise User:

- 1. The EP Data Manager Input Authorise User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. Once the EP Data Manager Input Only User has submitted the Initial Account Creation details, the EP Data Manager Input Authorise User will be informed in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting EP Checker Approval"
  - b. Accounts List view: increased counter under "Awaiting EP Checker Approval", a changed icon from '—' to 'O' in the EP column, and changed status to "Pending EP Checker Approval"
- 3. The EP Data Manager Input Authorise User can navigate to the Accounts Details view by clicking "Details" on the Accounts List view.

4. The EP Data Manager Input Authorise User can review the Account details and click "Approve".

H	KEX Synapse			n 25 Augu	ist 2022 💿 synuat214 synuat214 🗸 🔀
Initia	I Account Details: SynComp541			≪Ba	ck to Account List ×Reject ✓Approve
	Account Status:				× Delete Account Creation
	EP Maker: Approved -	·	EP Checker: Pending Approval	CP:Pending	Status: Inactive
		ACCOUNT DETAILS:			
		EP DETAILS:			
		EP Name :		SynComp531	
		EP LEI :		151500N66LJYHJUL934	
		EP BIC :		DTCCSELLXXX	
		EP DN :		cn=invfunds,ou=80a,o=creschzz	
		EP SEHK ID :		1430	
		CP DETAILS:			
		CP Name :		SynComp541	

5. The Account is now created for CP processing, and the status of EP Data Manager Input Authorise User will be shown as "Approved."

HKEX Synapse The Power of Connectivity.			🖻 25 Aug	just 2022 🕃 synuat214 synuat214 🗸 🂢
Initial Account Details: SynComp541				←Back to Account List
Account Status:				× Delete Account Creation
EP Maker: Approved	1	EP Checker: Approved ->	CP: Pending Approval	Status: Inactive
	ACCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp531	
	EP LEI :		151500N66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			
	CP Name :		SynComp541	

- 6. The CP Data Manager Input Only User will be informed that an account creation is ready for their review in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting CP Maker Approval"
  - b. Accounts List view: increased counter under "Awaiting CP Maker Approval", Accounts List view changed icon from 'O' to '√' in the EP column, and changed status to "EP Approved"

#### Approval by EP Data Manager Input Only User;

Rejection by EP Data Manager Input Authorise User Back to EP Data Manager Input Only User:



Rejection by EP Data Manager Input Authorise User Back to EP Data Manager Input Only User:

- 1. When the EP Data Manager Input Authorise User wants to reject the Account details, they must click "Reject". A text box appears for the EP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.
- 2. Then the EP Data Manager Input Authorise User must provide the rejection reasons by clicking "Submit" and then reject the account details by clicking "Reject".

HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 ④ synual214 synual214 🕤 🂢
Initial Account Details: SynComp541		←Back to Account List ×Reject ✓Approve
Assount Status	NEW ACCOUNT REJECTION:	v Delate Account Crantian
EP Maker: Approved ~	Please provide a comment below:	Status: Inactive
	Comment	
AC	cc	
1	EP	
	E	5531
	E	Cancel
	E	XXX
	E	chzz
	E	1430
		_
I	CP Name :	SynComps41
HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 🛞 synual214 synual214 🗸 🂢
HKEX Synapse The Power of Connectivity. Initial Account Details: SynComp541		□ 25 August 2022 @ synual214 synual214 。 X
HKEX Synapse The Power of Connectivity. Initial Account Details: SynComp541	NEW ACCOUNT REJECTION:	25 August 2022 (@) synual214 synual214 -> X     + Back to Account List XReject      A Back to Account Creation     X Delete Account Creation
HKEX Synapse The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved -	NEW ACCOUNT REJECTION: Please provide a comment below:	25 August 2022 ⊕ synual214 synual214 → X     *Beck to Account List ×Reject           × Beck to Account List ×Reject            × Delete Account Creation         Status:Inache
HKEX Synapse The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker: Approved ->	NEW ACCOUNT REJECTION: Please provide a comment below: reasori	☐ 25 August 2022 @ synual214 synual214 → X     ★Back to Account List ★Reject →Approve     ★ Delete Account Creation     Status:Inactive
HKEX Synapse The Power of Connectivity. Initial Account Details: SynComp541 Account Status: EP Maker:Approved ~	NEW ACCOUNT REJECTION: Please provide a comment below: reasori	25 August 2022 ⊕ synual214 synual214 → X     *Back to Account List × Reject ✓ Approve     × Delete Account Creation     Status:inactive
HKEX Synapse The Power of Connectivity Initial Account Details: SynComp541 Account Status: EP Maker: Approved	NEW ACCOUNT REJECTION: Please provide a comment below: reasori	25 August 2022 @ synual214 synual214 → X     *Back to Account List × Reject ✓ Approve     × Delete Account Creation     Status:inactive
HKEX Synapse The Power of Connectivity Initial Account Details: SynComp541 Account Status: EP Maker: Approved -	NEW ACCOUNT REJECTION: Please provide a comment below: ressort	25 August 2022 @ synual214 synual214 → X • Back to Account List × Reject ✓ Approve × Delete Account Creation Status:inactive 3531
HKEEX Synapse Dre Power of Connectivity Initial Account Details: SynComp541 Account Status: EP Maker: Approved -	NEW ACCOUNT REJECTION: Please provide a comment below: ressort	≥ 25 August 2022 (a) synual214 synual214        X         * Rack to Account List       × Reject          * Delete Account Creation       Status:inactive         \$531       154
HKEEX Synapse Dre Power of Connectivity Initial Account Details: SynComp541 Account Status: PP Maker: Approved	NEW ACCOUNT REJECTION: Please provide a comment below: resord	≥ 25 August 2022 (a) synual214 synual214        X         * Rack to Account List       × Reject          * Delete Account Creation       Status:inactive         status       status         taxe       status         taxe       status         status       status
HKEEX Synapse Dre Power of Connectivity Initial Account Details: SynComp541 Account Status: PP Maker: Approved - Acc	NEW ACCOUNT REJECTION: Please provide a comment below: reason	25 August 2022 @ synual214 synual214        X         * Back to Account List       × Reject       < Approve
HKEEX Synapse         Dre Power of Connectivity         Initial Account Details: SynComp541         Account Status:         EP Maker: Approved	NEW ACCOUNT REJECTION: Please provide a comment below: resard	25 August 2022 @ synual214 synual214        ✓ X         * Back to Account List       × Reject       ✓ Approve         * Delete Account Creation       Status:inactive         5531       334         2000       3034         2000       3034         2000       3034         2000       3034         2000       3034         2000       3034         2000       3034
HKEEX Synapse Dre Power of Connectivity Initial Account Details: SynComp541 Account Status: PP Maker: Approved - Acc	NEW ACCOUNT REJECTION: Please provide a comment below: reacrol	25 August 2022 @ synual214 synual214        X         * Back to Account List       × Reject       < Approve
HKEEX Synapse         The Power of Connectivity         Initial Account Details: SynComp541         Account Status:         EP Maker: Approved	NEW ACCOUNT REJECTION: Please provide a comment below: reason	25 August 2022 @ synual214 synual214        ✓ X         * Eack 10 Account List       × Reject       ✓ Approve         * Detect Account Creation       Status:inactive         551       334         304       304         305       430
HKEEX Synapse         The Power of Connectivity         Initial Account Details: SynComp541         Account Status:         EP Maker: Approved	NEW ACCOUNT REJECTION: Please provide a comment below: reasori reasori P DETAILS: CP Name :	25 August 2022 @ synual214 synual214      * Elack 10 Account List     * Receive Account Creation     Status:inactive     531   334   334   334   334   334   334   334   334   334   334   334   334   334   334   334   335   334   335   336   337   338   339   339   334   335   336   337   338   339   339   330   331   332   334   335   336   337   338   339   339   339   330   331   332   333   334   335   336   337   338   339   339   339   331   331   332   333   334   335   336   337   338   339

- 3. The EP Data Manager Input Only User will be informed that the Account has been rejected in one way:
  - a. Accounts List view: changed icon from 'O' to '—' in the EP column and changed status to "EP Checker Rejected"
- 4. The EP Data Manager Input Only User can navigate to the Account Details view by clicking "Details" on the Accounts List view.
- 5. The account has been rejected by the EP Data Manager Input Authorise User, and the EP Data Manager Input Only User can click "Edit" to edit specific fields based on the EP Data Manager Input Authorise User's comments for resubmission.

HKEX Synapse The Power of Connectivity.				25 August 2022 🕃 synual211 synual211 🗸 🔀
Initial Account Details: SynComp541				←Back to Account List
Account Status:				× Delete Account Creation
EP Maker: Pending A	mendment	EP Checker: Rejected × ●	CP: Pending	Status: Inactive
	ACCOUNT DETAILS:			∕ 6at
	EP DETAIL S:			
	EP Name :		SynComp	5531
	EP LEI :		151500N66LJYHJUL	.934
	EP BIC :		DTCCSELL	XXX
	EP DN :		cn=invfunds,ou=80a,o=cress	chzz
	EP SEHK ID :		1	1430
	CP DETAILS:			

6. After editing specific fields, the EP Data Manager Input Only User can re-submit the Account for the EP Data Manager Input Authorise User's review by clicking "Resubmit".

HKEX Synapse The Power of Connectivity.		n 25 August 20	22 @ synuat211 synuat211 🗸 🏌
Edit New Account Details	▲reason		Cancel Resubmit
	CP BIC :	DTCCDEAGXXX	
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP Participant ID :	B01110	
	ACCOUNT:		
	* EP's Account at CP :	900425	
	ACCOUNT PROCESSING:		
	* Account Effective Date :	2021-06-05	
	Account Mapping Status :	EP Checker Rejected	

7. The EP Data Manager Input Authorise User can confirm that the fields re-submitted by going to the Account Details of the re-submitted record on Accounts List View and

#### "Approve".

HKEX Synapse The Power of Connectivity.				🖻 25 August 2022 )) synuat214 synuat214 🗸 🏹
Initial Account Details: SynComp541				+Back to Account List ×Reject
Account Status:				$\times$ Delete Account Creation
EP Maker: Approved ~		EP Checker: Pending Approval	CP:Pending	Status: Inactive
۵	ACCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynC	omp531
	EP LEI :		151500N66LJYH	JUL934
	EP BIC :		DTCCSE	ELLXXX
	EP DN :		cn=invfunds,ou=80a,o=c	reschzz
	EP SEHK ID :			1430
	CP DETAILS:			
	CP Name :		SynC	omp541

#### 6.1.2 Clearing Participant (CP)

#### Approval by CP Data Manager Input Only User; Approval by CP Data Manager Input Authorise User:



#### Approval by CP Data Manager Input Only User:

- 1. The CP Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The CP Data Manager Input Only User will be informed that the EP has successfully submitted an Account in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting CP Maker Approval"
  - b. Accounts List view: increased counter under "Awaiting CP Maker Approval", changed icon from '—' to '√' in the EP column, and changed status to "EP Approved"
- 3. The CP Data Manager Input Only User can navigate to the Account Details view by clicking "Details" on the Accounts List view.

4. On the CP Data Manager Input Only User's Accounts Details page view, they must select the "CP's Account at CCASS" from drop-down menu and click "Submit for Approval" button.

HKEX Synapse				🖻 25 August 2022 @ synual281 synual281 🗟 💢
Initial Account Details: SynComp541		▲To approve, provide the	e information indicated below.	ck to Account List × Reject ✓ Submit For Approval
Account Status:				
EP: Approved ~		▲ CP Maker: Pending Approval	CP Checker: Pending	Status: Inactive
	ACCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		Syn	Comp531
	EP LEI :		151500N66LJYI	HJUL934
	EP BIC :		DTCCS	ELDOX
	EP DN :		cn=invfunds,ou=80a,o=	creschzz
	EP SEHK ID :			1430
	CP DETAILS:			
	CP Name :		SynCo	mp541

HKEX Synapse The Power of Connectivity.		□ 25 Au	gust 2022 🕃 synuat281 synuat281 🗸 🔀
Initial Account Details: SynComp541	▲ To approve, provide the i	nformation indicated below.	ount List ×Reject ✓ Submit For Approval
Account Status:			
EP: Approved ~	CP Maker: Pending Approval	CP Checker: Pending	Status: Inactive
	CP DETAILS:		
	CP Name :	SynComp541	
	CP LEI :	812700N66LADSERSH679	
	CP BIC :	DTCCDEAGXXX	
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP CCASS ID :	B01110	
	CP's Account at CCASS :	11	
	ACCOUNT		
	ED's Account at CD :	900422	
	EP's Account at CP :	300420	

HKEX Synapse The Power of Connectivity.		= 25	August 2022 🕃 synual281 synual281 🗸 🎽
Initial Account Details: SynComp541	▲To approve, provide the infor	mation indicated below. Eack to a	Account List × Reject ✓ Submit For Approval
Account Status:			
EP: Approved ~	CP Maker: Pending Approval	CP Checker: Pending	Status: Inactive
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP CCASS ID :	B01110	
	CP's Account at CCASS :	11 -	
	ACCOUNT:		
	EP's Account at CP :	9004	28
	ACCOUNT PROCESSING:		
	Account Effective Date :	2021-06-	)5
	Account Mapping Status :	EP Approv	ed

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
CP's Account at CCASS	Settlement Account No. at CCASS used by the CP for each of the Account No. for EP at CP	String	20	М	N/A

#### Approval by CP Data Manager Input Authorise User:

- 1. The CP Data Manager Input Authorise User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The CP Data Manager Input Authorise User will be informed that the CP Data Manager Input Only User has submitted the Account for CP Data Manager Input Authorise User's approval in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting CP Checker Approval"
  - Accounts List view: increased counter under "Awaiting CP Checker Approval", changed icon from '—' to 'O' in the CP column, and changed status to "CP Maker Approved"
- 3. The CP Data Manager Input Authorise User can navigate to the Account Details view by clicking "Details" on the Accounts List view.
- 4. On the CP Data Manager Input Authorise User's Account details view, CP Data Manager Input Authorise User can confirm the Account details by clicking "Approve".

HKEX Synapse The Power of Connectivity.		= 25 Au	just 2022 @ synual283 synual283 🗸 💢
Initial Account Details: SynComp541		¢E	ack to Account List × Reject
Account Status:			
EP: Approved ~	CP Maker: Approved ~	CP Checker: Pending Approval	Status: Inactive
	ACCOUNT DETAILS:		
	EP DETAILS:		
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
	CP DETAILS:		
	CP Name :	SynComp541	

HKEX Synapse The Power of Connectivity.			- 25 AI	ıgust 2022 🕃 synuat283 synuat283 🕤 🔀
Initial Account Details: SynComp541				←Back to Account List
Account Status:				
EP: Approved ~		CP Maker: Approved ~	CP Checker: Approved ~	Status: Active
	ACCOUNT DETAILS: EP DETAILS: EP Name : EP LEI : EP BIC : EP DN : EP SENK ID :		SynComp531 151500H66L/YHJUL934 DTCCSELLXXX ch=invfunds,ou=80a,o=rereschzz 1430	
	CP Name :		SunConn541	
			ejitorinje i	

#### Rejection by CP Data Manager Input Only User;

# Rejection by CP Data Manager Input Authorise User Back to EP Data Manager Input Only User:

For an account to be onboarded successfully, CP needs to approve the account creation. If the CP Data Manager Input Only User rejects the account and the CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User's rejection, the CP Data Manager Input Authorise User can reject back to the EP.



#### **Rejection by CP Data Manager Input Only User:**

1. When the CP Data Manager Input Only User rejects the Account creation, freeform text rejection reason(s) must be provided.

HKEX Synapse		🖻 25 August 2022 (	)) synual281 synual281 🗸 💢
Initial Account Details: SynComp541	▲ To approve, provide the information indicated below.	+ Back to Account List	×Reject ✓ Submit For Approval
Account Status: EP:Approved ~	NEW ACCOUNT REJECTION: Please provide a comment below:	SI	atus: inactive
ACC		2531 Cancel Submit 2934 XXX chez 1430	
	CP Name :	SynCompS41	

- 2. Then the CP Data Manager Input Only User must submit the rejection reasons by clicking "Submit" and then reject the account details by clicking "Reject".
- 3. The CP Data Manager Input Authorise User will be informed that the Account has been rejected in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting CP Checker Approval"
  - b. Account List view: increased counter under "Awaiting CP Checker Approval", changed icon from '—' to 'O' in the CP column, and changed status to "CP Maker Rejected"

Rejection by CP Data Manager Input Authorise User Back to EP Data Manager Input Only User:

- 1. The CP Data Manager Input Authorise User receives a notification that the CP Data Manager Input Only User has rejected the account via the Dashboard view or the Accounts List view.
- On the Account Details view, the CP Data Manager Input Authorise User clicks "Reject" and sees the "Reject back to Maker" and the "Reject back to EP" buttons. The "Approve" button is greyed out.

#### button and then select "Reject Back to EP":

HKEX Synapse		-	25 August 2022 🕲 synual283 synual283 🗸 🂢
Initial Account Details: SynComp541			← Back to Account List × Reject × Approve
Account Status: EP:Approved ~	CP Maker: Rejected × •	CP Checker: Rejection Pending Approval	Reject Back To Maker Reject Back To EP Status:inactive
	ACCOUNT DETAILS:		
	EP DETAILS:		
	EP Name :	SynCom	np531
	EP LEI :	151500N66LJYHJU	JL934
	EP BIC :	DTCCSEL	Doox
	EP DN :	cn=invfunds,ou=80a,o=cre	schzz
	EP SEHK ID :		1430
	CP DETAILS:		
	CP Name :	SynCorr	np541

- 3. When the CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User's rejection, they can reject back to EP Data Manager Input Only User by clicking "Reject"
- 4. When the CP Data Manager Input Authorise User rejects the Account, a text box appears for the CP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.

HKEX Synapse The Power of Connectivity.			gust 2022 🕃 synuat283 synuat283 🗟 🗙
Initial Account Details: SynComp541	To approve, provide the information indicated below.	÷i	lack to Account List × Reject Approve
Account Status:	NEW ACCOUNT REJECTION:		
EP:Approved ~	Please provide a comment below:		Status: Inactive
A	Comment		
r.	ED.		
			5
		1934	
	Cen	ncel	
	E	chzz	
		1430	
	CP DETAILS:		
	CP Name :	SynComp541	

5. The CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User's rejection and is required to provide freeform text rejection reason(s) to reject

the Accou	unt submission	back to the El	P Data Manago	r Input Only Llear
ILE ACCOU			r Dala Mahaye	i input Only Oser.

HKEX Synapse The Power of Connectivity.		🛅 25 August 2022 @ synuat283 synuat283 🗸 💢
Initial Account Details: SynComp541	To approve, provide the information indicated below.	← Back to Account List × Reject ✓ Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP:Approved ~	Please provide a comment below:	Status: Inactive
А	Please change CP's account at CCASS	
	EP E	-531
	c,	Incel Submit 1934
		ch22 1430
	CP DETAILS: CP Name :	SvnComp541
· · ·		

- 6. Then the EP Data Manager Input Only User is informed about the Account Creation rejection in one way:
  - a. Accounts List view: changed icon from '✓' to 'X' in EP column, and changed status to "CP Checker Rejected"
  - b. The CP Data Manager Input Only User and CP Data Manager Input Authorise User will see the row disappeared from the Accounts List view.

#### Approval by CP Data Manager Input Only User;

Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:

For an account to be onboarded successfully, CP needs to approve the account creation. If the CP Data Manager Input Only User approves the account and the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's approval/input, the CP Data Manager Input Authorise User will reject back to the CP Data Manager Input Only User.



# Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:

1. When the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's approval, they can reject back to CP Data Manager Input Only User by clicking "Reject" button and select "Reject Back to Maker". The "Reject back to EP" button is greyed out.

HKEX Synapse			🚍 25 Au	gust 2022 🕃 synual283 synual283 🗸 💢
Initial Account Details: SynComp541				Back to Account List × Reject ✓ Approve
Account Status: EP:Approved ~	CP Maker: App	roved >	proval	Reject Back To Maker Reject Back To EP Status:Inactive
	ACCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp531	
	EP LEI :		151500N66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			
	CP Name :		SynComp541	

2. A text box appears for the CP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.

HKEX Synapse The Power of Connectivity.	🖻 25 August 2022 @ synuat283 synuat283 - 🗙
Initial Account Details: SynComp541	Gask to Account List X Reject X Approve
Account Status: EP:Approved //	NEW ACCOUNT REJECTION:           Please provide a comment below:         Status:inactive
	Comment ACCC
	EP
	E Cancel Manager 1004
	E 1430
	CP Name : SynComp541

3. Then the CP Data Manager Input Authorise User must provide the rejection reason(s) by clicking "Submit".

HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 @ synual283 synual283 🗟 🏹
Initial Account Details: SynComp541		← Back to Account List × Reject ✓ Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP:Approved -	Please provide a comment below:	Status: Inactive
A	Change CP's account at CCASS	
	EP	
		5531
	Cancel Sut	upmit 1934 XXXX
	r	chzz
	E	1430
	CP DETAILS:	
	CP Name :	SynComp541

- 4. Then the CP Data Manager Input Only User is informed about the Account Creation rejection in one way:
  - a. Accounts List view: increased counter under "Awaiting CP Maker Approval", changed status to "CP Checker Rejected", and changed icon from 'O' to '—' in the CP column

HKEX Synapse		- 25	August 2022 ③ synuat281 synuat281 🗸 文
itial Account Details: SynComp541			Account List ×Reject ✓ Submit For Appro
Account Status:			
EP: Approved ~	CP Maker: Pending Amendment	CP Checker: Rejected × •	Status: Inactive
		Comment:	
A	CCOUNT DETAILS:	Change CP's account at CCASS	Edit
	EP DETAILS:	CLOSE	
	EP Name :	SynComp5:	31
	EP LEI :	151500N66LJYHJUL9:	34
	EP BIC :	DTCCSELLXX	CX
	EP DN :	cn=invfunds,ou=80a,o=cresch;	ZZ
	EP SEHK ID :	143	30
i i	CP DETAILS:		

#### Rejection by CP Data Manager Input Only User; Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:

For an account to be onboarded successfully, CP needs to approve the account creation. If the CP Data Manager Input Only User rejects the account and the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's rejection, the CP Data Manager Input Authorise User will reject back to the CP Data Manager Input Only User.



Rejection by CP Data Manager Input Authorise User Back to CP Data Manager Input Only User:

- 1. The CP Data Manager Input Authorise User receives a notification that the CP Data Manager Input Only User has rejected the account via the Accounts List view.
- When the CP Data Manager Input Authorise User disagrees with the CP Data Manager Input Only User's rejection, they can reject back to CP Data Manager Input Only User by clicking "Reject" button and select "Reject Back to Maker". The "Approve" button is greyed out.

HKEX Synapse			🖻 26 August 2022 🏵 synual283 synual283 🗸 💢
Initial Account Details: SynComp541			← Back to Account List × Reject ✓ Approve
Account Status: EP:Approved ~	CP Maker: Rejected ×	CP Checker: Rejection Pending Approval	Reject Back To Maker Reject Back To EP Status:inactive
	ACCOUNT DETAIL S:		
	EP DETAILS:		
	EP Name :		SynComp531
	EP LEI :	151500	N66LJYHJUL934
	EP BIC :		DTCCSELLXXX
	EP DN :	cn=invfunds,ou	=80a,o=creschzz
	EP SEHK ID :		1430
	CP DETAILS:		
	CP Name :		SynComp541

3. A text box appears for the CP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.

HKEX Synapse		🖻 26 August 2022 @ synual283 synual283 🗸 🂢
Initial Account Details: SynComp541	To approve, provide the information indicated below.	+Back to Account List × Reject × Approve
Account Status: EP:Approved ~	NEW ACCOUNT REJECTION: Please provide a comment below:	Status: Inactive
ACCC EP 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Controls	-531 -934 XOOK ehuz 1490
	DETAILS: CP Name :	SynConpS41

4. Then the CP Data Manager Input Authorise User must provide the rejection reason(s) by clicking "Submit".

HKEX Synapse The Power of Connectivity.		🛅 26 August 2022 (@) synuat283 synuat283 🗸 💢	
Initial Account Details: SynComp541	▲To approve, provide the information indicated below.	← Back to Account List × Reject × Approx	e.
A cocurat Statuce	NEW ACCOUNT REJECTION:		
EP:Approved ~	Please provide a comment below:	Status: Inactive	
۵.	Change CP's account at CCASS		
		Cancel Submit 1934 OUX daz 2 430	
	CP DETAILS:		
	CP Name :	SynComp541	

- 5. Then the CP Data Manager Input Only User is informed about the Account Creation rejection in one way:
  - a. Accounts List view: increased counter under "Awaiting CP Maker Approval", changed status to "CP Checker Rejected", and changed icon from 'O' to '—' in the CP column

ial Account Details: SynComp541	▲To approve, provide the info	prmation indicated below.	←Back to Acco
Account Status:			
EP: Approved ~	CP Maker: Pending Amendment	CP Checker: Rejected × •	Status: Inactive
		Comment:	
	ACCOUNT DETAILS:	Change CP's account at CCASS	8
		CLOSE	
	EP DETAILS:		
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
	CD DETAIL S		
	CP DETAILS:		

# 6.2 Delete Account Creation Prior to EP's Approval

Accounts can be deleted only by EP Data Manager Input Only User prior to receiving EP Data Manager Input Authorise User's approval.



6.2.1 Exchange Participant (EP)

#### EP Data Manager Input Only User:

1. If the Account created by the EP Data Manager Input Only User was rejected by the EP Data Manager Input Authorise User, then the EP Data Manager Input Only User can either amend/edit the Account details or delete the Account prior to creation.

HKEX Synapse				🖻 26 August 2022 🕃 synuat211 synuat211 🗸 💢
Initial Account Details: SynComp541				←Back to Account List
Account Status:				× Delete Account Creation
EP Maker: Pending Ar	nendment	EP Checker: Rejected × •	CP:Pending	Status: Inactive
	ACCOUNT DETAILS:			7 ca
	EP DETAILS:			
	EP Name :		SynC	omp531
	EP LEI :		151500N66LJYH	JUL934
	EP BIC :		DTCCSE	ELLXXX
	EP DN :		cn=invfunds,ou=80a,o=c	reschzz
	EP SEHK ID :			1430
	CP DETAILS:			

2. If the EP Data Manager Input Only User chooses to delete the Account, then they can navigate to the Account Details view and click "Delete Account".

HKEX Synapse The Power of Connectivity.				🖻 26 August 2022 🕃 synual211 synual211 🗸 💢		
Initial Account Details: SynComp541				+Back to Account List		
Account Status:				$\times$ Delete Account Creation		
EP Maker: Pending Ame	endment	EP Checker: Rejected × ●	CP:Pending	Status: Inactive		
А	ACCOUNT DETAILS:			∕ tat		
	EP DETAILS:					
	EP Name :		SynCo	mp531		
	EP LEI :		151500N66LJYHJUL5			
	EP BIC :		DTCCSE	LLXXX		
	EP DN :		cn=invfunds,ou=80a,o=cr	eschzz		
	EP SEHK ID :			1430		
	CP DETAILS:					
'						

- 3. Once that button is clicked, the Account will be deleted.
- 4. When the EP Data Manager Input Only User goes back to the Accounts list view, the Account will no longer be listed.

HKEX The Power of	<b>Synapse</b> <sup>r Connectivity,</sup> Dashboard	Settlement In	structions	Accounts	Relationship	ps Market	⊟ 26 Data	August 2022 ④ synuat211 synua Reports	1211 - 💢
ACCOUNT	TS 1 Awaiting	EP Checker App	0 roval Awaiting CP Approval					<b>Q</b> Search Generate Report	+ New Account
	CRIELAT		CR DN & T	CRCCASSIDAT	EPIS ACCOUNT AT CR 4 T	ACCOUNT REFECTIVE DATE & T	ED 6	CDA STATUS A T	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2021-06-05	~	<ul> <li>Active</li> </ul>	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900429	2021-06-05	~	- CP Checker Rejected	
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05		<ul> <li>Pending EP Checker Approva</li> </ul>	

## 6.3 Deactivate Account After Account is Activated

Accounts can be deactivated only by EP Data Manager Input Only User. Account deactivation occurs when the EP Data Manager Input Only User initiates the deactivation and the EP Data Manager Input Authorise User approves the deactivation. Account will then be deactivated on the effective date input by EP.

#### 6.3.1 Exchange Participant (EP)

#### Approval by EP Data Manager Input Only User; Approval by EP Data Manager Input Authorise User:

#### Approval by EP Data Manager Input Only User:



- 1. The EP Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The EP Data Manager Input Only user can navigate to the Accounts List view by clicking the "Accounts" tab.

HKEX Synapse The Power of Connectivity.								🗖 26 August 2022 ④ synual211 synuat211 🧹 🇙			
	Dashboard		Settlement In	structions	Accounts	Relationship	os Market [	)ata		Reports	
ACCOUN	тѕ	<b>1</b> Awaiting I	EP Checker Appr	O roval Awaiting CP Approval					م	Search Generate Report	+ New Account
CP NAME 4 T	CP LEI 4 7		CP BIC A T	CP DN A T	CP CCASS ID A T	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	EP	СР	STATUS A T	
SynComp541	812700N66LADS	ERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschza	z B01110	900546	2021-06-05	~	~	Active	DETAILS
SynComp541	812700N66LADS	ERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschza	z B01110	900429	2021-06-05	~	-	CP Checker Rejected	DETAILS
SynComp542	948522R67AKFN	EMM09	GOLDDDEAXXX	cn=invfunds,ou=80a,o=creschza	z B01115	900427	2021-06-05	•	-	Pending EP Checker Approval	DETAILS >

3. The EP Data Manager Input Only User can select an active account and navigate to the Account Details view by clicking "Details" on the Accounts List view.

4. On the Accounts Details view, the EP Data Manager Input Only User can initiate the deactivation process by clicking "Deactivate Account".

HKEX Synapse The Power of Connectivity.			26A	ugust 2022 🕃 synual211 synual211 🗸 💢
Initial Account Details: SynComp541			e	Back to Account List × Deactivate Account
Account Status:				
EP Maker: Approve	sd ✓	EP Checker: Approved ~	CP: Approved ~	Status: Active
	ACCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp531	
	EP LEI :		151500N66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			_
	CP Name :		SynComp541	

5. A pop-up window requesting the account deactivation effective date will appear. The effective date must be future date (i.e., at least one day after today's date).

HKEX Synapse The Power of Connectivity	± 26.	August 2022 🕲 synuat211 synuat211 🗸 💢
Initial Account Details: SynComp541		Characterine List × Deactivate Account
Account Status: EP Maker: Approved ~	ACCOUNT DEACTIVATION:	Status: Active
	Please specify account deactivation effective date:	
ACCOUNT DETAILS:	2022 08 28	
EP DETAILS:	Cancel Ok	
EP Name :		SynComp531
EP LEI :	151500N6	i6LJYHJUL934
EP BIC :	D	TCCSELLXXX
EP DN :	cn=invfunds,ou=8	0a,o=creschzz
EP SEHK ID :		1430

- 6. The EP Data Manager Input Only User enters the account deactivation effective date and clicks "Deactivate Account", and the EP Data Manager Input Authorise User is informed in one way:
  - a. Accounts List view: the EP column will have a 'O' icon and the status column will show "Inactivation Pending Approval"

HKEX The Power of C	Synapse						🗖 26 Au	igust 2022 ④ synuat211 synuat	211 - 🗙
Da	shboard	Settlement In	structions A	ccounts	Relationshi	ps Market i	Data	Reports	
ACCOUNTS	s 1 Awaiting	EP Checker App	O roval Awaiting CP Approval				C	Search Generate Report	+ New Account
CP NAME ** 0	P LEI A 🔻	CP BIC 4 T	CP DN A T	CP CCASS ID 4 7	EP'S ACCOUNT AT CP 4 7	ACCOUNT EFFECTIVE DATE	EP <sup>A</sup> CF	STATUS ≜ ▼	
SynComp541 8	12700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2022-08-27	× ×	Inactivation Pending Approval	DETAILS >

### Approval by EP Data Manager Input Authorise User:



- 1. The EP Data Manager Input Authorise User is informed that there is an account deactivation request in one way:
  - a. Account List view: the status column will show "Inactivation Pending Approval"

HKEX Syn The Power of Connectivi	apse						🖻 26 Au	igust 2022 ④ synual214 synual	214 - 🗙
Dashboard	1	Settlement in	sudcuons	Accounts	Relationship	s market t	ata	Repons	
ACCOUNTS	1		0				c	Search Generate Report	+ New Account
	Awaiting	EP Checker App	roval Awaiting CP Approval						
CP NAME A T CP LEI A T		CP BIC * *	CP DN 4 7	CP CCASS ID A 🔻	EP'S ACCOUNT AT CP * *	ACCOUNT EFFECTIVE DATE	EP <sup>A</sup> C	P≜ STATUS≜▼	
SynComp541 812700N6	6LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2022-08-27	~ ~	Inactivation Pending Approval	DETAILS >
SymComp542 94852286	AKFNEMM09	GOLDDDEAXXX	cn=invlunds.ou=80a.o≕creschzz	: B01115	500427	2021-08-05	• -	Pending EP Checker Approval	DETAILS >

2. The EP Data Manager Input Authorise User can approve the deactivation request by clicking "Approve Deactivation"

HKEX Synapse			a 26 Augus	it 2022 @ synual214 synual214 🗸 🔀
Initial Account Details: SynComp541		▲Pending Account Deactivation Effective Date: 2022-08-27	←Back to Account List ×Re	ject Deactivation <pre> ✓Approve Deactivation</pre>
Account Status:				$\times$ Delete Account Creation
EP Maker: Approved 🗸		EP Checker: Account Deactivation Pending Approval	CP: Approved 🗸	Status: Active
A	EP DETAILS:		0-0	
	EP Name :		SynComp531	
	CP CCI.		07000511502534	
	EP DIC :		cn=invfunds.ou=80a.o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			
	CP Name :		SynComp541	

- 3. The EP Data Manager Input Only User will be informed of the account deactivation and its effective date in one way:
  - a. Account List view: changed status to "Inactivation Approved"
    - i. Note: the account will then be deactivated on the effective date, and the status will change to "Inactive"

HKEX The Power of C	Synapse						🗖 26 A	ugust 2022 ③ synual214 synual2	214 -> 🔀
Da	ishboard	Settlement In	structions	Accounts	Relationship	ps Market	Data	Reports	
ACCOUNTS	s 1 Awaiting	EP Checker App	0 roval Awaiting CP Approval					Q Search Generate Report	+ New Account
CP NAME * 7 C	CP LEI <sup>A</sup> T	CP BIC * *	CP DN <sup>A</sup> <sup>+</sup>	CP CCASS ID A 7	EP'S ACCOUNT AT CP * *	ACCOUNT EFFECTIVE DATE	EP* C	CP A STATUS A T	
SynComp542 9	48522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds,ou=80a,o=creschzz	B01115	900427	2021-06-05	· · ·	<ul> <li>Pending EP Checker Approval</li> </ul>	DETAILS
Зупсандонт о	12/04/WOLAUSERSTRUS	DICUDAGAAA		billi	500-50	2022-99-21			DETAILS

Notification for Clearing Participant (CP):

- 1. Both the CP Data Manager Input Only User and CP Data Manager Input Authorise User will be informed of the account deactivation and its effective date in two ways:
  - a. Account List view: changed status to "Inactivation Approved" (Note: the account will then be deactivated on the effective date, and the status will change to "Inactive")



b. UI Notification on Dashboard page under Accounts

Approval by EP Data Manager Input Only User; Rejection by EP Data Manager Input Authorise User:

#### **Rejection by EP Data Manager Input Authorise User:**



- 1. The EP Data Manager Input Authorise User is informed that there is an account deactivation request in one way:
  - a. Account List view: the status column will show "Inactivation Pending Approval"

HKEX Sy The Power of Conne	rnapse ctivity.	K				c	1 26 <i>i</i>	lugus	t 2022 🕃 synuat214 synuat2	14 ~ 💢
Dashb	pard Set	tlement Instruction	Accour	ıts	Relationships	Market Dat	1		Reports	
ACCOUNTS	<b>1</b> Awaiting EP Ch	ecker Approval	<b>1</b> Awaiting CP Approval					Q S	earch Generate Report +	New Account
CP NAME * *	CP LEI A 🔻	CP BIC A 🔻		CP CCASS ID 4	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP≜	CP	STATUS A 🔻	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2022-08-31	× .	×	Inactivation Pending Approval	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	902658	2021-06-05	~	1	Active	DETAILS >
CP01234_SynapseCP	LAKVM34512JDHRT84596	SYNCOMP326X	cn=invfunds,ou=80a,o=creschzz	B01227	9001961	2021-06-05	•	-	Pending EP Checker Approval	DETAILS >
CP01235_SynapseCP	XBCVDU47121234EDFED8	SYNCOMP327X	cn=invfunds,ou=80a,o=creschzz	B01228	9001962	2021-06-05	~	Ξ.	EP Approved	DETAILS >
SynComp319	9RZRI2GG23QS7M9MS0EG	SYNCOMP319X	cn=invfunds,ou=80a,o=creschzz	B01213	9001963	2021-06-05	~	~	Active	DETAILS >
SynComp283	Q69A8027GL2NPXTRPYQE	SYNCOMP283X	cn=invfunds,ou=80a,o=creschzz	B01138	9007962	2021-06-05	~	~	Active	DETAILS >

2. On the Accounts tab, the EP Data Manager Input Authorise User can go to the Accounts Details page and reject the deactivation request by clicking "Reject Deactivation" button.

HKEX Synapse The Power of Connectivity.	K		🖶 26 Aug	just 2022 @ synuat214 synuat214 🗸 🔀
Initial Account Details: SynComp541		▲Pending Account Deactivation Effective Date: 2022-08-31	← Back to Account List ×	Reject Deactivation <pre>✓Approve Deactivation</pre>
Account Status:				× Delete Account Creation
EP Maker: Approved <		EP Checker: Account Deactivation Pending Approval	CP: Approved </td <td>Status: Active</td>	Status: Active
	ACCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp531	
	EP LEI :		151500N66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			
	CP Name :		SynComp541	

3. The account will remain active, and the process stops there.

HKEX Synapse			□ 26	August 2022 💿 synuat214 synuat214 🗸 🔰
Initial Account Details: SynComp541				← Back to Account List
Account Status:				
EP Maker: Approved ~		EP Checker: Approved <	CP: Approved ~	Status: Active
AC	CCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp53	1
	EP LEI :		151500N66LJYHJUL93	4
	EP BIC :		DTCCSELLXX	x
	EP DN :		cn=invfunds,ou=80a,o=cresch2	z
	EP SEHK ID :		143	0
	CP DETAILS:			
	CP Name :		SynComp54	1

Note: the CP Data Manager Input Only User and CP Data Manager Input Authorise User only receive notification of an account deactivation after the EP Data Manager Input Authorise User approves the account deactivation. If the EP Data Manager Input Authorise User rejects the account deactivation request, then the process ends and no notification will be sent to any participants.

# 6.4 Accounts List View for Sell Side Participants

The Accounts List View provides an overview of the sell side participants' accounts and specific details.

## 6.4.1 Exchange Participant (EP)

Field Name	Description
CP Name	The Legal Entity name of the CP
CP LEI	Legal Entity Identifier for the Clearing Participant
CP BIC	BIC Code of Clearing Participant
CP DN	DN Code of Clearing Participant
CP CCASS ID	CCASS Participant ID of Clearing Participant
EP's Account at CP	Account No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account

## 6.4.2 Exchange Participant Outsourcing Operator (EPOO)

Field Name	Description
EP Name	The Legal Entity Name of the EP
CP Name	The Legal Entity name of the CP
CP LEI	Legal Entity Identifier for the Clearing Participant
CP BIC	BIC Code of Clearing Participant
CP DN	DN Code of Clearing Participant
CP CCASS ID	CCASS Participant ID of Clearing Participant
EP's Account at CP	Account No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account
# 6.4.3 Clearing Participant (CP)

Field Name	Description
EP Name	The Legal Entity Name of the EP
EP LEI	Legal Entity Identifier for the Exchange Participant
EP BIC	BIC Code of Exchange Participant
EP DN	DN Code of Clearing Participant
EP SEHK ID	Identification number for EP at Stock Exchange of Hong Kong
EP's Account at CP	Account No. for EP at CP
CP's Account at	Settlement Account No. at CCASS used by the CP for each of the Account
CCASS	No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account

# 6.4.4 Account Operator (AO)

Field Name	Description
CP Name	The Legal Entity Name of the CP
EP Name	The Legal Entity Name of the EP
EP LEI	Legal Entity Identifier for the Exchange Participant
EP BIC	BIC Code of Exchange Participant
EP DN	DN Code of Clearing Participant
EP SEHK ID	Identification number for EP at Stock Exchange of Hong Kong
EP's Account at CP	Account No. for EP at CP
CP's Account at	Settlement Account No. at CCASS used by the CP for each of the Account
CCASS	No. for EP at CP
Account Effective Date	The date from which the Sell side Account mapping is active on the system
EP Status	Status of EP
CP Status	Status of CP
Status	Overall Status of the Account

# 7. Instruction Processing

After receiving the SN from DTCC, Synapse will create the settlement instructions and user could locate the instruction in the "Settlement Instruction List View", and also access the underlying settlement detail in the "Settlement Instruction Detail view".

Synapse creates different types of Settlement Instructions. Settlement Instructions (SIs), Stock Segregated Account Transfer Instruction (STIs), and Special STIs (SSTIs) on behalf of its participants in CCASS after getting relevant participants' approval.

- SIs occur when the buy side and sell side are different entity (i.e., different CCASS participants)
- STIs occur when both the buy side (LC) and sell side (CP) are the same entity (i.e., same CCASS participant)
- SSTIs occur when both buy side and sell side are the same entity (i.e., same CCASS participant) but only one side is on Synapse

CCASS does not differentiate between SSTI and STI and both STI and SSTI will follow the standard CCASS STI mechanism.

# 7.1 Settlement Instructions List View

The Settlement Instructions List View provides an overview of what actions need to be taken for SIs, STIs, and SSTIs by the instruction creation date. The ribbon provides an overview of instructions' statuses.

Section Sub- header	Description
Processing	Shows the total number of all Settlement Instructions pending approval or being rejected (please see below for list of Synapse rejection reasons) such that Settlement Instructions have not yet been submitted to CCASS, i.e., no CCASS Input Number has been received yet, on current HKT business day and within the past 31 calendar days.
	counter:
	<ul> <li>RJGC – rejected by Global Custodian – transaction is rejected by Global Custodian</li> </ul>
	<ul> <li>RJLC – rejected by Local Custodian – transaction is rejected by Local Custodian</li> </ul>
	RJCP – rejected by Clearing Participant – transaction is rejected by Clearing Participant
	<ul> <li>RJCE – rejected by CCASS – transaction is rejected by CCASS as it carries information not recognized by CCASS, or due to system error</li> </ul>
	Note: If the SCV is with Synapse status = CTHP (Cancelled by Third Party) but with no CCASS status (i.e., the SN is cancelled before being approved by GC/LC/CP (before directed to CCASS)), it will show as "Processing" in the list view instead of "Cancelled". If such SCV is subsequently being approved by GC/LC / CP, then Synapse will send to CCASS and the unmatched / matched / settled counter will also be updated subsequently. Please refer to Section 7.5 for different CCASS status.
Unmatched	Shows the total number of Settlement Instructions (SI) with CCASS status "Unmatched" on current HKT business day and within the past 31 calendar days.
	Transactions with the following CCASS status are included into that counter:
	NCRR – settlement currency unmatch

Section Sub-	Description
header	
	<ul> <li>DSEC – stock code/ISIN unmatch</li> <li>DQUA – quantity unmatch</li> <li>CMIS – no possible matching SI found</li> <li>OTHR – other</li> <li>FRAP – payment instruction unmatch</li> <li>PODU – possible matching SI but not earmarked as pairs</li> <li>SAFE – client A/C no. unmatch</li> <li>DMON – money value unmatch</li> <li>DDAT – settlement date unmatch</li> <li>DELN – transaction direction unmatch</li> </ul>
Matched	<ul> <li>Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Matched" on current HKT business day and within the past 31 calendar days.</li> <li>The CCASS statuses supported by Synapse are:</li> <li>MTCH – matched</li> <li>CYCL – matched – payment validated</li> <li>CVAL – matched – RDP shares on hold</li> <li>PREA – matched – matched on hold or counterparty instruction on hold</li> <li>CAIS – pending for transfer (STI only)</li> </ul>
Settled	Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Settled" for SI or "Transferred" for STI on current HKT business day. If the settlement instruction settled on current HKT business day is not created today (e.g. created previously on T-1), the "Settled" counter will not be reflected. The CCASS statuses supported by Synapse are: • SETD – settled
Cancelled*	<ul> <li>Shows the total number of all cancelled transaction of SI and STI (all end of lifecycle statuses) on current HKT business day which is the same as the creation date. Cancelled SI / STI before approval will not be reflected.</li> <li>The CCASS statuses supported by Synapse are:</li> <li>CSUB – cancelled – revoked SI by counterparty</li> <li>CANS – cancelled – SI/STI purged</li> <li>CANI – cancelled or revoked SI OR unmatched SI deleted OR</li> </ul>

Section Sub- header	Description
	cancelled for STI

HK The Po	EX Syr	iapse	_		(/		R					🛱 117	April 2023	l 🕲 synu	at001 synuat0	ot ~ 🗙
	Dashbo	ard	Settle	ment Instru	ctions		Funds		Rela	ationships	Marke	t Data			Reports	
Settlem	ent Instructio	ns														
	SETTLE	MENT		5 Process	5	0 d Matched	1 Settled	0 Cancelled						٩	Search Ge	nerate Report
															2021-06-05	8
INS TYP	E ···· FUND ID ·	* ISIN 4 *		SETTLEMEN		SETTLEMEN		T · · TYPE ·	PAYMENT MODE	FUND ACCOUNT AT GC	* EP BIC * *	TRADE ID * *	GC A 🔻	LC A T CF	• • • STATUS •	÷
SI	882231	CNE100003059	29,625	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	-			DETAILS >
STI	882231	CNE100003059	29,627	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-			DETAILS
STI	882231	CNE100003059	29,627	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-			DETAILS
SI	882231	CNE100003059	29,622	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~	~ -	Unmatche	DETAILS >
SI	882231	CNE100003059	29,621	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~	~ -	Unmatche	DETAILS >
SI	882231	CNE100003059	29,624	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~	~ -	Unmatche	DETAILS >
SI	882231	CNE100003059	29,623	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~	~ -	Unmatche	DETAILS >
SI	882231	CNE100003059	29,626	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	<ul> <li>–</li> </ul>	Unmatcher	DETAILS
SI	882231	CNE100003059	2,231	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2231994155771021	-			DETAILS >
STI	882231	CNE100003059	22,312	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-			DETAILS >
SI	552775	CNE100003059	2,775	CNY		4,065,977.07		DELI	DVP	543008	DTCCSELLXXX	3008994155771021	~	/ /	Settled	DETAILS
								Proviou	< > Novt							

The type of instruction is indicated in the Instruction Type column 'INS TYPE' on the left. The date shown on the top right-hand corner of the SI List View is the SI creation date, the settlement instructions are shown by the creation date in the SI List View. A label reflects the date applied to the list view is next to the calendar date picker of SI creation date. Remaining column headers on each participants' views are unique and outlined further below.

The following shapes indicate what actions has been taken or need to be taken:

- '—'no action has been taken yet by the participant. This means that either the Transaction Balances Input Only User for the relevant participant needs to take action, or that participant is not on Synapse and no action will ever be taken, e.g. for a buy-side chain whose sell-side is not onboarded to Synapse, the CP column will always show '—'
- 'O 'there is a Transaction Balances Input Only User proposal that is pending Transaction Balances Input Authorise User to review and accept/reject within the same participant entity.
- '✓' the instruction has been approved by that Transaction Balances Input Only User and Transaction Balances Input Authorise User
- 'X' the instruction has been rejected by that Transaction Balances Input Only User and Transaction Balances Input Authorise User

HK The Pow	EX Syr	apse										🛱 11 A	pril 2023 (	synual	001 synuat00	1 ~ 🗶
	Dashbo	ard	Settle	ment Instructi	ons		Funds		Rel	ationships	Marke	t Data		R	leports	
Settlem	ent Instructio	ns														
	SETTLE	MENT		5 Processing	5 Unmatched	0 Matched	1 Settled	0 Cancelled						۹.	Search Ger	erate Report
														20	21-06-05	8
INS TYPE	E 🍯 FUND ID 🖞	* ISIN 4 *		SETTLEMENT C		SETTLEMEN	TAMOUN	TYPE **	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC 4 Y	TRADE ID * *	GC A T LC	· · CP	TATUS **	
SI	882231	CNE100003059	29,625	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021		-		DETAILS >
STI	882231	CNE100003059	29,627	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021		-		DETAILS
STI	882231	CNE100003059	29,627	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021		-		DETAILS
SI	882231	CNE100003059	29,622	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~ ~	-	Unmatched	DETAILS
SI	882231	CNE100003059	29,621	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	<		Unmatched	DETAILS
SI	882231	CNE100003059	29,624	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~ ~	-	Unmatched	DETAILS >
SI	882231	CNE100003059	29,623	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	<ul> <li></li> </ul>	-	Unmatched	DETAILS
SI	882231	CNE100003059	29,626	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2962994155771021	<ul><li></li></ul>	-	Unmatched	DETAILS
SI	882231	CNE100003059	2,231	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2231994155771021		-		DETAILS >
STI	882231	CNE100003059	22,312	CNY		4,065,977.07		DELI	DVP	542231	DTCCSELLXXX	2231094155771021		-		DETAILS
SI	552775	CNE100003059	2,775	CNY		4,065,977.07		DELI	DVP	543008	DTCCSELLXXX	3008994155771021	1 1	~	Settled	DETAILS >
								Previous	X > Next							

Each participant can click into the 'Details' button and be brought to the Settlement Instructions Details View where further action can be taken.

### 7.1.1 Buy Side

Buy side participants can view new SIs, STIs, and SSTIs on the Settlement Instructions List View screen to know which instructions are pending for their actions.

Settlement Instructions Status Bar mapping can be found in 1 Dashboard / 1.1 Buy Side / Settlement Instructions.

### 7.1.1.1 Asset Managers (AM)

HKEX S	Synaps	e				Q							o		0 11 A	pril 2023 (	Synuation Synu By Organization SynCorpusition	181003 , 🗙
	Dashboar		Se	ttlement in:	structions			Funds			Relationships	Ma	rket Data				Re ACTING AS:	-
Settlement Inst	ructions																Asset Manag	per
																	Function 1: Transaction	-Balances
SETTLEMEN	IT INSTRU	CTIONS		5	5	0	1	0									Role Type Impat-Aut	e Report
				Processi	ing Unmatche	d Matcheo	settled	Cancelled									<ul> <li>Function 2 : Data Manage</li> <li>Relia Type Input-Au</li> </ul>	
INS TYPE **	FUND ID **	ISIN <sup>are</sup>	QUANTITY **	SETTLEM	ENT CURRENC	(**	SETTL	EMENT AMOUNT **	TYPE * *	PAYMENT MODE ^ *	FUND ACCOUNT AT GC * *	EP BIC **	TRADE ID * *	GC ^ *	LC * *	CP * T	Function 3 : SYN Uner	
STI	882231	CNE100003059	29,627	CNY			4,065,9	77.97	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	Rain Type	1)
STI	882231	CNE100003059	29,627	ONY			4,065,9	77.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		
SI	882231	CNE100003059	29,622	CNY			4,065,9	77.07	DELI	DVP	542231		2119994155771021	1	~	-	Clego	14 B A
SI	882231	CNE100003059	29,621	CNY			4,065,9	77.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
31	882231	CNE100003059	29,624	CNY			4,065,9	77.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
SI	882231	CNE100003059	29,623	CNY			4,065,9	77.07	DELI	DVP	542231		2119994155771021	×	~	-	Unmatched	DETAILS >
SI	882231	CNE100003059	29,626	CNY			4,065,9	77.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	-	Unmatched	DETAILS
51	882231	CNE100003059	2,231	CNY			4,065,9	77.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-		DETAILS >
STI	882231	CNE100003059	22,312	CNY			4,065,9	77.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-		DETAILS
51	552775	CNE100003059	2,775	CNY			4,065,0	77.07	DELI	OVP	543008	DTCCSELLXXX	3018394155771021	~	~	~	Settled	DETAILS >

Field	Description
INS TYPE	Indicating the settlement instruction type, (i.e., SI, STI, SSTI)
Fund ID	Fund ID of the Fund onboarded in Synapse
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.1.2 Asset Manager Middle Outsourcing Operator (AMOO)



Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
AM BIC	AM Business Identification Code
Fund ID	Fund ID of the Fund onboarded in Synapse
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade:
	- RDP (Real time Deliver versus Payment)
	- DVP (Deliver versus Payment)
	- FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.1.3 Global Custodians (GC)

HH The P	EX Synapse		4		S				🗖 16 Ma	y 2023 🖲 s	synuat071 synuat0	71 ~ 💢
	Dashboard	Settlemen	t Instruction	s	Fu	nds		Relationships	Market Data		Reports	
Settler	ment Instructions											
	SETTLEMENT		4	0	0	0	0				Q Search Ge	nerate Report
			Processing	Unmatched	Matched	Settled	Cancelled				2021-06-05	
INS TYPE		SETTLEMEN CURRENCY	r 🍐	SETTLEMEN	т	≜ <del>▼</del> TYPE 4	* PAYMENT MODE	FUND ACCOUNT AT		GC ≜ ∓ LC	≜ Ŧ CP ≜ Ŧ STATUS	Δ. <del></del>
SI	CNE100003059 92,200	CNY		4,065,977.07		DELI	DVP	542548	DTCCSELLXXX 6058768034052433	ı —       —	-1	DETAILS >
SI	CNE100003059 92,200	CNY		4,065,977.07		DELI	DVP	542548	DTCCSELLXXX 6058768034252433	ı	-	DETAILS >
SI	CNE100003059 92,200	CNY		4,065,977.07		RECE	DVP	542695	9968768034052118		-	DETAILS >
SSTI	CNE100003089 92,200	CNY		4,065,977.07		DELI	DVP revious < >	542030 Next	2030930122176672		-	DETAILS

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.1.4 Local Custodians (LC)

HKEX The Power of Co	Synapse				NQ.						J.		o		E 11 A	pril 2023 (	D synual 143 synua Ito Gravitation	<sup>1143</sup> , 🗙
	Dashboard		Settlement In	structions				Funds		Relationships		M	arket Data				Re ACTING AS	
Settlement Inst	tructions																8 Identity: Local Casted	
SETTLEME	NT INSTRUCT	IONS	5	5	0	1	0										Function 1 : Data Manager Brain Type: Ingen Austr	orise e Report
			Processi	ing Unmatch	ed Matcher	1 Settled (	Cancelle	d									Role Type: Input Auto	elences orise
INS TYPE **	ISIN * *	QUANTITY ^ *	SETTLEMENT CURRENCY		SETTLEMEN	TAMOUNT *		TYPE ^ *	PAYMENT MODE ***	GC ACCOUNT AT LC * *	CP CCASS ID 1 7	SPSA ^ *	TRADE ID * *	GC * *	LC * *	С₽≜т	5 A Punction 5 :	
STI	CNE100003059	22,312	CNY		4,065,977.00			DEU	OVP	762231	C30016	20101001	2231094155771021	-	-	-	Role Type	12
51	CNE100003053	2,231	CNY		4,065,977.07			DEU	CVP	762231	B01110	20103031	2231094155771021				inget Auth	orise >
STI	CNE100003050	29.627	CNY		4 065 977 07			DELL	CVP	782231	00016	20101001	2062094155771021	-	-	-	() Logout	
STI	CNE100003059	29.627	CNY		4,065,977.07			DELI	DVP	762231	C10016	80103001	2962094155771021	-	-	-		
SI	CNE100003059	29.622	CNY		4,065,977.00			DEU	OVP	762231	801110	80101001	2119994155771021	~	~	-	Unmatched	OCTAILS >
SI	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	E01110	80103001	2119994155771021	~	~	-	Unmatched	DETAILS >
SI	CNE100003059	29,624	CNY		4,065,977.07			DEU	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS >
SI	CNE100003059	29,623	CNY		4,065,977.07			DELL	DVP	762231	B01110	80101001	2119994155771021	~	~	-	Unmatched	DETAILS
51	CNE100003059	29,625	CNY		4,065,977.03			DELI	DVP	762231	B01110	80000001	2962994155771021	~	~	-	Unmatched	DETAILS
SI	CNE100003059	2,775	CNY		4,065,977.07			DELI	DVP	763008	801455	80101091	3008994155771021	~	~	1	Settled	DETAILS

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
GC Account at LC	GC Account at LC for the Fund of the trade
CP CCASS ID	CP's CCASS Participant ID
SPSA	Special Segregated Account
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

### 7.1.2 Sell Side

Sell side participants are able to view new SIs, STIs, and Special STIs on the Settlement Instruction List View screen to know which instructions need processing.

Settlement Instructions Status Bar mapping can be found in 1 Dashboard / 1.2 Sell Side / Settlement Instructions.

## 7.1.2.1 Exchange Participant (EP)

HKEX S	Synapse														🗄 11 April :	2023 @ syn	uat214 synuat214	<b>.</b> X
	Dashboard		Settlement	t Instructions			A	counts		Relationships		Market Data				Re ,	CTING AS:	
Settlement Inst	ructions																Identity: Exchange Participan	vt
SETTLEMEN		IONS	٩	0	0	1	1									ľ	Function 1 : Transaction Balance Role Type Input Authorise	e Deport
			Proce	assing Unmatch	hed Matcheo	1 Settled	Cancelled									•	Function 2 : SYN User Role Type: Input-Ruthorine	
INS TYPE - T	ISIN <sup>+</sup> <sup>+</sup>	QUANTITY 4 7	SETTLEMENT CURRE	ENCY	SETTLEM	ENT AMOUNT	T + T	TYPE * *	PAYMENT MODE 4 T	EP'S ACCOUNT AT CP 1 T	AM BIC * *	TRADE ID * *	CP 4 T	GC - T	LCAT	STATUS 4	Euroton 3 :	
STI	CNE100003053	22,312	CNY		4,065,977.	37		RECE	DVP	900545	DTCCMEORXXX	6555324624102231	-	-	-		Data Manager	1.2
SI	CNE100003059	2,231	CNY		4,065,977.	97		RECE	DVP	900545	DTCCMEORXXX	6855324624182231	-	-	-		Input-Authorise	0
SSTI	CNE100003053	92,200	CNY		4,065,977.0	37		RECE	DVP	900545	DTCCMEORXXX	0000000557582035	~	-	-	Reject by	(i) and the second	- P
STI	CNE100003059	29,627	CNY		4,065,977.	97		RECE	DVP	900545	DTCCMEORXXXX	6855324624129627	-	-	-		Oragoni	- D
STI	CNE1000030.59	29,627	CNY		4,065,977.)	37		RECE	DVP	900545	DTCCMEORXXX	6855324624129628	-	-	-		DETAI	ILS >
51	CNE100003059	92,000	HKD		5,892.16			RECE	DVP	902188	DTCCMEORXXXX	5000916261292188	-	-	-		DETAI	ILS >
SI	CNE1000030.59	92,000	HKD		5,892.16			RECE	DVP	922188	DTCCMEORXXXX	5000916261222188	-	-	-		DETAI	ils >
51	CNE100003059	92,000	CNY		4,065,977.)	37		RECE	DVP	902188	DTCCMEORXXX	5000916261232188	-	-	-		DETAI	ILS >
SI	CNE100003059	29,626	CNY		4,065,977.	37		RECE	DVP	900545	DTCCMEORXXXX	6855324624129626		~	×		DETAI	ils >
SI	CNE100003059	2,862	CNY		4,005,977.)	37		RECE	DVP	900951	SYNCOMP173X	6855324604252833	~	1	~	Cancelled	DETAI	ILS >
SI	CNE100003059	2,775	CNY		4,065,977.)	37		RECE	DVP	90303	DTCCMEORXXXX	6855324604183088	~	~	~	Settled	DETAI	LS >

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
EP's Account at CP	EP's Account No. at CP for the Account of the trade
AM BIC	AM Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.2.2 Exchange Participant Middle Outsourcing Operator (EPOO)



Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
EP BIC	EP Business Identification Code
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade:
	- RDP (Real time Deliver versus Payment)
	- DVP (Deliver versus Payment)
	- FOP (Free of Payment)
EP's Account at CP	EP's Account No. at CP for the Account of the trade
AM BIC	AM Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, matched, or settled status of the settlement instruction

## 7.1.2.3 Clearing Participant (CP)

HKEX The Power of C		е			Q									© 117	April 2023	i 🌒 synual263 synual26 E Organization SynCompSti	• <b>x</b>
	Dashboard		Settlement Ins	ructions				Accounts		elationships	Mart	oet Data				Re ACTING AS:	
Settlement In-	tructions						100									E Identity Clearing Participa	
																Function 1 :	
		CTIONS	•	•	•	•	•									Biole Type	
SETTLEME	NTINSTRU	CHONS	6	0	0	0	0										Report
			Processin	g Unmatche	d Match	ed Settled	Cancelle	d								Data Manager	
																Role Type: Input-Authoria	
INS TYPE **	ISIN 4 T	QUANTITY - *	SETTLEMENT CURRENCY **	SETTLEME	INT AMOU	NT - T	TYPE	PAYMENT MODE * *	EP'S ACCOUNT AT CP 1 T	CP'S ACCOUNT AT CCASS **	LC CCASS ID **	TRADE ID 1 T	CP * *	GC * T	LC+T	STA & Function 3 :	
STI	CNE100003059	22,312	CNY	4,065,977.0	07		RECE	DVP	900546	11	B01110	6655324624102231	-	-	-	SYN User	LS >
51	CNE100003059	2,231	CNY	4,065,977.0	37		RECE	DVb	900546	11	C00016	6855324624182231	-	-	-	Input-Authoria	<ul> <li>LS &gt;</li> </ul>
SSTI	CNE100003059	92,200	CNY	4,065,977.0	97		RECE	DVIP	900546	11	801110	000000557582035	1	-	-	Reje	1.5 >
STI	CNE100003059	29,627	CNY	4,065,977.0	07		RECE	DVP	900546	11	B01110	6855324624129627	-	-	-	ULogoot	LS >
STI	CNE100003059	29,627	CNV	4,065,977.0	37		RECE	DVP	900546	11	801110	6855324624129628	-	-	-	D	ITAILS >
SI	CNE100003059	29,625	CNY	4,065,977.0	07		RECE	DVP	900546	11	C00016	6855324624129626	-	~	~	D	ITAILS >
									Manforde / S. Navri								

Field	Description
INST TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity

Field	Description
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
EP's Account at CP	EP's Account No. at CP for the Account of the trade
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade
LC CCASS ID	LC's CCASS Participant ID
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, matched, or settled status of the settlement instruction

## Account Operator (AO)

Daskoard         Sedemest Issuectorie         Accounts         Realizability         Market Data         Realizability         Realizability           temmest Issuectories         4         0	HKEX The Power of C	Synaps onnectivity.	e							aaa					o ⊟1	April 2023 🗢 Acting /	is: SynCi	amp551 ~	synual351 synual35     In Crociator:	• X
Intervention         Autor		Dashboard	I		Settlement In	structions				Accounts		Relati	nships		Market Data				Re ACTIND AS:	
STMPL**         CP BL**         DBM**         QUANTITY**         SETLEMENT CONDUCT*         SETLEMENT AUXONT**         SETLEMENT AUX	Settlement Ins	NT INSTRU	CTIONS		4 Process	<b>O</b> sing Unmatche	0 ed Matched	0 Settled	0 Cancelle	d									Account Operator  Function 1: STM User  Rise Type Input Only  Function 2: Data Manager	: Repa
	IN S TYPE ^ * SI SI SI	CP BIC 1 T SYNCOMP388X SYNCOMP388X SYNCOMP388X	ISIN ** CNE101003859 CNE101003859 CNE101003859	QUANTITY * * 92,000 92,000 92,000	SETTLEMENT HKD HKD CNY	CURRENCY	SETTLE 5,892.11 5,892.11 4,085.90	EMENT AN 6 6 77.07	KUNT 🏾 🔻	TYPE *** RECE RECE RECE	PAYMENT MODE DVP DVP DVP	E * * EP'S ACCOUNT AT C 902188 922188 902188	CP'S ACCI 1 5 1	OUNT AT CCASS 17	LC CCASS ID 4 7 C00016 C00016 C00016	TRADE ID * * 5000916261292188 5000916261222188 5000916261222188	-	GC * *	Control Contr	005 ILS ) ILS ) ILS )

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
CP BIC	Clearing Participant Business Identification Code
ISIN	Identification of Security. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either receive or deliver
Payment Mode	Payment mode of the trade:
	- RDP (Real time Deliver versus Payment)
	- DVP (Deliver versus Payment)
	- FOP (Free of Payment)
EP's Account at CP	Exchange Participant's Account at Clearing Participant
CP's Account at CCASS	Clearing Participant's Account at CCASS
LC CCASS ID	Local Custodian's CCASS ID
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC, approval
LC	Status of LC approval
СР	Status of CP approval

Field	Description
Status	Unmatched, Matched, or Settled status of the settlement instruction

# 7.2 Settlement Instruction Details View

### **Key Settlement Instruction Details**

Each participant sees different Settlement Instruction Details and the details are outlined below.

### 7.2.1 Buy Side

### 7.2.1.1 Asset Managers (AM)

HKEX Synapse The Power of Connectivity				🗂 12 July 2024 @ synual:1154 synual:1154 🗸 💢
Back Settlement Instruction Details Trade ID: 6171230310110020				
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANS	ACTION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN CNE100	003059 Depository BIC	XHKCHKH120X	Trade Date	2023-09-01
Local Code	93986 Quantity	200,000	Type	DELI
Name GIGADEVICE SEMICONDUCTOR(BEIJI	G) INC Settlement Date	2023-09-01	Payment	DVP
	Settlement Currency	CNV	Deal Price Currency	CNV
	Settlement Amount	200,000.01	Deal Price	44.06
	Effective Settlement Date	2024-07-11	Currency To Buy	USD
	Settled Currency	CNY	Currency To Sell	
	Settled Amount	200,000.01	FX Cancellation	
	Real-Time Settlement Indicator	False		
FUND DETAILS	PARTICIPANT DETAILS			
ID 55	202406 AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112K
Name Fund Profile	202406 AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC 54	202406 Investor ID	300013	SPSA	80000001
	GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 55555
	GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
			CRis Assessed at CCARE	

#### AMs can view the following:

#### **Financial Instrument Details**

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique
	identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

#### **Settlement Details**

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest amount in CCASS. Once the instruction is settled, it will become the settled amount of the trade

Field	Description
	Note: LC and CP must enter a value for this field when they approve the
	SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade:
	- True
	- False

#### **Trade Details**

Field	Description
Trade Date	Trade date
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade:
	- RDP (Real time Deliver versus Payment)
	- DVP (Deliver versus Payment)
	- FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be
	cancelled.

#### **Fund Details**

Field	Description
ID	Fund ID of the Fund onboarded in Synapse
Name	Financial instrument name
Fund Account at GC	Fund account No. at GC for the Fund of the trade

## **Participant Details**

Field	Description
AM BIC	AM Business Identification Code
AM Name	AM Name
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX
	Note: Synapse will populate the following fields based on the Investor ID: <ul> <li>SPSA Account #</li> <li>LC Name</li> <li>LC CCASS Participant ID</li> <li>LC LEI</li> <li>LC BIC</li> <li>LC DN</li> </ul> Investor ID is also known as "SPSA ID" in CCASS
GC BIC	GC Business Identification Code
GC Name	GC Name
LC BIC	LC Business Identification Code
LC Name	LC Name

Field	Description
SPSA	Special Segregated Account
Counterparty – EP	Counterparty details (EP) including Business Identification Code, Name, and
(BIC/Name/LEI)	Legal Entity Identifier
Counterparty – CP CCASS ID	Counterparty details (CP) CCASS Participant ID
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade
	Note: LC must enter a value for this field when they approve the SSTI. This
	applies to SSTI only

# 7.2.1.2 Global Custodian (GC)

HKEX Synapse The Power of Connectively.		🗇 09 July 2024 @ gmust2009 gmust2009 - 🗙
Back Settlement Instruction Details Trade ID: 6171230310110020		Reject: Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE	
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS
ISIN CNE10003059	Depository BIC XHKCHKH1X3	Trade Date 2023-09-01
Local Code 93986	Quantity 200,0	D Type DELI
Name GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date 2023-09-	1 Payment DVP
	Settlement Currency C8	f Deal Price Currency CNY
	Settlement Amount 200,000	1 Deal Price 44.06
	Effective Settlement Date	Currency To Buy USD
	Settled Currency	Currency To Sell
	Settled Amount	FX Cancellation
	Real-Time Settlement Indicator Fail	
FUND DETAILS	PARTICIPANT DETAILS	
ID 55202406	AM BIC SYNCOMP17	LC BIC SYNCOMP112X
Name Fund Public 202406	AM Name SunCount	3 IC Name SynComo112
Fund Account at GC 54202406	Investor ID 3000	3 SPSA 8000001
	GC BIC SYNCOMP350	Counterparty - EP (BIC/ Name/ LEI) Buyer, 200 Buyer Lane, NY, NY 55555
	GC Name SynComp3	6 Counterparty - CP CCASS ID C00019
	GC's Account at LC 762024	5 CP's Account at CCASS
	EP's Account at CP 123456	8

### **Financial Instrument Details**

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

### **Settlement Details**

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest amount in CCASS. Once the instruction is settled, it will become the settled amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade: - True

Field	Description
	- False

#### **Trade Details**

Field	Description
Trade Date	Trade date
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade:
	- RDP (Real time Deliver versus Payment)
	- DVP (Deliver versus Payment)
	- FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be
	cancelled.

### **Fund Details**

Field	Description
ID	Fund ID of the Fund onboarded in Synapse
Name	Financial instrument name
Fund Account at GC	Fund account No. at GC for the Fund of the trade

### **Participant Details**

Field	Description		
AM BIC	AM Business Identification Code		
AM Name	AM Name		
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX		
	Note: Synapse will populate the following fields based on the Investor ID: • SPSA Account # • LC Name • LC CCASS Participant ID • LC LEI • LC BIC • LC DN		
GC BIC	GC Business Identification Code		
GC Name	GC Name		
GC's Account at LC	GC Account No. at LC for the Fund of the trade		
LC BIC	LC Business Identification Code		
LC Name	LC Name		
SPSA	Special Segregated Account		
Counterparty – EP (BIC/Name/LEI)	Counterparty details (EP) including Business Identification Code, Name, and Legal Entity Identifier		

Field	Description
Counterparty – CP CCASS ID	Counterparty details (CP) CCASS Participant ID
EP's Account at CP	EP Account No. at CP, sourced from DTCC's SN
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only

## 7.2.1.3 Local Custodian (LC)

HKEX Synapse The Power of Connectivity.				🗖 09 July 2024 🕀 synual783 synual783 🗸 🔀
Geck Settlement Instruction Details Trade ID: 6171230310110020				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANS/	CTION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN CNE1000	13059 Depository BIC	XHKCHKH1X000	Trade Date	2023-09-01
Local Code	93986 Quantity	200,000	Туре	DEU
Name GIGADEVICE SEMICONDUCTOR(BEIJIN	INC Settlement Date	2023-09-01	Payment	DVP
	Settlement Currency	CNY	Deal Price Currency	CNY
	Settlement Amount	200,000.01	Deal Price	44.06
	Effective Settlement Date	2023-09-01	Currency To Buy	
	Settled Currency	CNY	Currency To Sell	
	Settled Amount	200,000.01	FX Cancellation	
	Real-Time Settlement Indicator	False		
FUND DETAILS	PARTICIPANT DETAILS			
ID 552	02406 AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name Fund Profile 2	02406 AM Name	SynComp173	LC Name	SynComp112
	Investor ID	300013	SPSA	8000001
	GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 55555
	GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
	GC's Account at LC	76202406	CP's Account at CCASS	
	EP's Account at CP	12345678		

#### **Financial Instrument Details**

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique
	identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

#### **Settlement Details**

Field	Description
Depository BIC	Depository Business Identification Code
Quantity	Trade quantity
Settlement Date	Contractual settlement date of the trade
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade
Settled Currency	Settled currency of the trade
Settled Amount	Before the instruction is settled, this field reflects the latest settlement amount in CCASS. Once the instruction is settled, it will become the actual settlement amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade:
	- True
	- Faise

### **Trade Details**

Field	Description
Trade Date	Trade date
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade:
	- RDP (Real time Deliver versus Payment)
	- DVP (Deliver versus Payment)
	- FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be
	cancelled.

#### **Fund Details**

Field	Description
ID	Fund ID of the Fund onboarded in Synapse
Name	Financial instrument name

### Participant Details

Field	Description		
AM BIC	AM Business Identification Code		
AM Name	AM Name		
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX		
	Note: Synapse will populate the following fields based on the Investor ID: • SPSA Account # • LC Name • LC CCASS Participant ID • LC LEI • LC BIC • LC DN		
	Investor ID is also known as "SPSA ID" in CCASS		
GC BIC	GC Business Identification Code		
GC Name	GC Name		
GC's Account at LC	GC Account No. at LC for the Fund of the trade		
LC BIC	LC Business Identification Code		
LC Name	LC Name		
SPSA	Special Segregated Account		
Counterparty – EP (BIC/Name/LEI)	Counterparty details (EP) including Business Identification Code, Name, and Legal Entity Identifier		
Counterparty – CP CCASS ID	Counterparty details (CP) CCASS Participant ID		
EP's Account at CP	EP Account No. at CP, sourced from DTCC's SN		
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This		

Field	Description
	applies to SSTI only

## 7.2.2 Sell Side

## 7.2.2.1 Exchange Participant (EP)

Sotilement Instruction Details Trade ID: 0000000055341120           KEY SETILEMENT DETAILS         SETILEMENT DETAILS           SETILEMENT DETAILS         SETILEMENT DETAILS           SETILEMENT DETAILS         SETILEMENT DETAILS           SETILEMENT DETAILS         SETILEMENT DETAILS           SETILEMENT DETAILS         CARDE DETAILS           SETILEMENT DETAILS         SETILEMENT DETAILS           SETILEMENT DETAILS         Trade Date         2021-06-05           Local Code         9306         Ountity         Settiment Date         Colspan="2">Colspan="2">Settiment Currency         ChY         Deal Price Currency         CHY           Name         GIGADEVICE SEMICONDUCTOR(BELING NDLE         Settiment Date         Currency         Currency To Buy           Settiment Amount         4.000           FARCICIPANT DETAILS         France         DIFCOREDUCTOR(BELING NDLE)           EP Ric         DIFCOREDUCTOR SET         Settiment Indicator         False           FARCICIPANT DETA	HKEX Syna The Power of Connectivit	apse				🖿 19 August 2022 ④ synual211 synual211 🗸 🚶
KEY SETTLEMENT DETAILS       SETTLEMENT STATUS       SI HEALTH CHECK       TRANSACTION REFERENCES AND LIFECYCLE         FINANCIAL INSTRUMENT DETAILS       SETTLEMENT DETAILS       TRADE DETAILS       TRADE DETAILS       202166-05         Local Code       9396       Quantity       92200       Type       DELI         Name       GIGADEVICE SEMICONDUCTORIBEJING IM       Settlement Date       2021-06-05       Yype       DELI         Settlement Date       2021-06-05       Quantity       92200       Type       DELI         Name       GIGADEVICE SEMICONDUCTORIBEJING IM       Settlement Date       2021-06-05       Payment       DVP         Settlement Date       2021-06-05       Settlement Date       2021-06-05       Payment       DVP         Settlement Date       2021-06-05       Settlement Date       2021-06-05       Payment       DVP         Settlement Amount       4.065.9770       Del Price Currency       Currency To Buy       Currency To Sell       Currency To Sell       Settlement Date       Currency To Sell       Currency To Sell       Settlement Date       Settlement Date       Settlement Date       Currency To Sell       Currency To Sell       Settlement Date       Settlement Date       Settlement Date       Settlement Date       Settlement Date       Settlement Date       S	←Back Settlement Instru	ruction Details Trade ID: 0000000056341120				
FINANCIAL INSTRUMENT DETAILS     ETTLEMENT DETAILS     RADE DETAILS       ISIN     CHE1000005     Opository BIC     XHICHHH10XX     Tade Date     2021-06-05       Local Code     99380     Quantity     92200     Type     DELI       Name     GIGADE/ICE SEMICONDUCTORIBEJING MI     Settienent Date     2021-06-05     Mymmt     DDP       Settienent Date     2021-06-05     Mymmt     DDP     DELI       Settienent Date     2021-06-05     Mymmt     DDP       Settienent Date     2021-06-05     Mymmt     DDP       Settienent Date     2021-06-05     Settienent Date     CM       Settienent Date     2021-06-05     Settienent Date     CM       Settienent Date     2021-06-05     Settienent Date     CM       Settienent Date     CM     CM     CM     CM       Settienent Date     CM     CM     CM     Settienent Date       Settienent Indicator     Fable     CM     Settienent Date     Settienent Date       Settienent Indicator     Fable     CM     Settienent Date     Settienent Date       Settienent Indicator     Fable     CM     Settienent Date     Settienent Date       Settienent Indicator     Fable     Settienent Date     Settienent Date     Settienent Date <td>KEY SETTLEMENT DET</td> <td>TAILS SETTLEMENT STATUS SI HE</td> <td>ALTH CHECK TRANSAC</td> <td>TION REFERENCES AND LIFECYCLE</td> <td></td> <td></td>	KEY SETTLEMENT DET	TAILS SETTLEMENT STATUS SI HE	ALTH CHECK TRANSAC	TION REFERENCES AND LIFECYCLE		
ISIN         CR10000050 Local Code         Opeository BIC         XHKCH411XXX         Tade Date         2021-66-65           Local Code         99986         Quantity         92,200         Type         DELI           Name         GIGADE/ICE SEMICONDUCTORIBELINISY MICHATISCH         Settiment Date         2021-66-40         Payment         DVP           Settiment Date         2021-66-40         Payment         DVP         DELI           Settiment Date         2021-66-40         Payment         DVP         OLI           Settiment Date         2021-66-40         Payment         DVP         OLI           Settiment Date         2021-66-40         Pal Price Currency         Currency         Currency To Buy         Currency To Buy         Currency To Buy         Currency To Buy         Setted Amount         Anount         Setted Amount	FINANCIAL INSTRUME	NT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
Local Code         9980         Quantity         992200         Type         DELL           Name         GIGADE/ICE SEMICONDUCTORIBELING (M         Settiment Date         2021-06-01         Payment         DDP           Settiment Currency         Ch         Deal Price Currency         CH         Deal Price         44.06           Effective Settiment Date         Currency To Buly         Currency To Sell         Currency To Sell         USD           Settied Currency         Currency To Sell         Currency To Sell         USD           Settied Currency         Currency To Sell         USD           Settied Anount         0.00         FX Cancellation         ERTS           PARTICIPANT DETAILS         Settienent Indicator         False         Currency To Sell         USD           FP Name         SynComp511         SynComp541         False         SynComp541         SynComp541	ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Name         GIGADEVICE SEMICONDUCTOR(BELJING) MORAL         Settlement Date         2021-06-04         Permotion         OUP           Settlement Currency         CMP         Deal Price Currency         CMP         CMP <td< td=""><td>Local Code</td><td>93986</td><td>Quantity</td><td>92,200</td><td>Туре</td><td>DELI</td></td<>	Local Code	93986	Quantity	92,200	Туре	DELI
Settiment Currency     ChY     Deal Price Currency     ChY       Settiment Amount     4,065,977,07     Deal Price     44,06       Effective Settiment Data     Currency To Bay     USD       Settied Currency     Currency To Sell     USD       Settied Amount     0,00     FX accellation     Effective Settiment Indicator       PARTICIPANT DE TAILS     DTCCSELLXXX     False       EP Rune     SynComp531     FX accellation       EP Name     SynComp541	Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
PARTICIPANT DETAILS               Procession of the synchrony of t			Settlement Currency	CNY	Deal Price Currency	CNY
EP BIC     OtrocseLucox     OtrocseLucox     OtrocseLucox     EP State of the stat			Settlement Amount	4,065,977.07	Deal Price	44.06
Settled Currency     Settled Currency <td></td> <td></td> <td>Effective Settlement Date</td> <td></td> <td>Currency To Buy</td> <td></td>			Effective Settlement Date		Currency To Buy	
PARTICIPANT DETAILS EP Bic DrCCELLUXX EP Name SynComp511 CP Bac SynComp511 CP Bac SynComp511 EP SynComp511			Settled Currency		Currency To Sell	USD
Real-Time Settlement Indicator     Fale       PARTICIPANT DE TAILS     File       EP Bic     DTCCSELLCXX       EP Nancount at CP     SynComp531       EP Account at CP     DTCCEACXX       CP Name     SynComp541			Settled Amount	0.00	FX Cancellation	ERTS
PARTICIPANT DETAILS EP BIC DTCCSELUXX EP Name SynComp531 EP's Account at CP 900546 CP BIC DTCCDEAXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX			Real-Time Settlement Indicator	False		
EP BIC DTCCSELLXX EP Name SynComp531 EP's Account at CP 900546 CP BIC DTCCDEAXXX CP Name SynComp541	PARTICIPANT DETAILS	5				
EP BIC     DTCCSELUXX       EP Name     SynCompS1       EP's Account at CP     900546       CP BIC     DTCCDEAQXXX       CP Name     SynCompS41						
EP Name     SynComp531       EP's Account at CP     909546       CP BIC     DTCCDEAcXXX       CP Name     SynComp541	EP BIC	DTCCSELLXXX				
EP# Account at CP         900546           CP BLC         DTCDEDEAXXX           CP Name         SynComp541	EP Name	SynComp531				
CP BIC DTCDEAQXXX CP Name SynComp541	EP's Account at CP	900546				
CP Name SynComp541	CP BIC	DTCCDEAGXXX				
	CP Name	SynComp541				

#### **Financial Instrument Details**

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique
	identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

### **Settlement Details**

Field	Description		
Depository BIC	Depository Business Identification Code		
Quantity	Trade quantity		
Settlement Date	Contractual settlement date of the trade		
Settlement Currency	Contractual settlement currency of the trade		
Settlement Amount	Contractual settlement amount of the trade		
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade		
Settled Currency	Settled currency of the trade		
Settled Amount	Before the instruction is settled, this field reflects the latest settlement amount in CCASS. Once the instruction is settled, it will become the actual settlement amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only		

Field	Description
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade: - True - False

### **Trade Details**

Field	Description		
Trade Date	Trade date		
Туре	Securities movement type. It could be either "Receive" or "Deliver"		
Payment	Payment mode of the trade:		
	- RDP (Real time Deliver versus Payment)		
	- DVP (Deliver versus Payment)		
	- FOP (Free of Payment)		
Deal Price Currency	Deal price currency of the trade		
Deal Price	Deal price amount of the trade		
Currency to Buy	Currency to buy for the trade		
Currency to Sell	Currency to sell for the trade		
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be		
	cancelled.		

#### **Participant Details**

Field	Description
EP BIC	EP Business Identification Code
EP Name	EP Name
EP's Account at CP	EP's Account No. at CP for the Account of the trade
CP BIC	CP Business Identification Code
CP Name	CP Name
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only
Counterparty – AM (BIC/Name/LEI)	Counterparty details (AM) including Business Identification Code, Name, and Legal Entity Identifier
Counterparty – LC CCASS ID	Counterparty details (LC) CCASS Participant ID
LC's Account at CCASS	LC's Account No. at CCASS Note: CP must enter a value for this field when they approve the SSTI. This applies to SSTI only
GC's Account at LC	GC Account No. at LC for the Fund of the trade

## 7.2.2.2 Clearing Participant (CP)

HKEX Syn The Power of Connectivit	apse				🖻 19 August 2022 )) synual281 synual281 🗸 🚶
←Back Settlement Instr	ruction Details Trade ID: 0000000056341120				Reject Approve
KEY SETTLEMENT DE	TAILS SETTLEMENT STATUS SI HE	ALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE		
FINANCIAL INSTRUME	INT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	92,200	Туре	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount	0.00	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS	5				
EP BIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	900546				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				

#### **Financial Instrument Details**

Field	Description
ISIN	International Securities Identification Number. It can be used as a unique
	identifier for a stock
Local Code	Local stock code of the securities
Name	Financial instrument name

#### **Settlement Details**

Field	Description		
Depository BIC	Depository Business Identification Code		
Quantity	Trade quantity		
Settlement Date	Contractual settlement date of the trade		
Settlement Currency	Contractual settlement currency of the trade		
Settlement Amount	Contractual settlement amount of the trade		
Effective Settlement Date	Before the instruction is settled, this field reflects the latest settlement date in CCASS. Once the instruction is settled, it will become the actual settlement date of the trade		
Settled Currency	Settled currency of the trade		
Settled Amount	Before the instruction is settled, this field reflects the latest settlement amount in CCASS. Once the instruction is settled, it will become the actual settlement amount of the trade Note: LC and CP must enter a value for this field when they approve the SSTI. This applies to SSTI only		
Real-Time Settlement Indicator	Securities real-time gross settlement indicator of a trade:		
	- True		
	- raise		

### **Trade Details**

Field	Description
Trade Date	Trade date
Туре	Securities movement type. It could be either "Receive" or "Deliver"

Field	Description				
Payment	Payment mode of the trade:				
	- RDP (Real time Deliver versus Payment)				
	- DVP (Deliver versus Payment)				
	- FOP (Free of Payment)				
Deal Price Currency	Deal price currency of the trade				
Deal Price	Deal price amount of the trade				
Currency to Buy	Currency to buy for the trade				
Currency to Sell	Currency to sell for the trade				
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.				

### **Participant Details**

Field	Description		
EP BIC	EP Business Identification Code		
EP Name	EP Name		
EP's Account at CP	EP's Account No. at CP for the Account of the trade		
CP BIC	CP Business Identification Code		
CP Name	CP Name		
CP's Account at CCASS	CP's Account No. at CCASS for the Account of the trade Note: LC must enter a value for this field when they approve the SSTI. This applies to SSTI only		
Counterparty – AM (BIC/Name/LEI)	Counterparty details (AM) including Business Identification Code, Name, and Legal Entity Identifier		
Counterparty – LC CCASS ID	Counterparty details (LC) CCASS Participant ID		
LC's Account at CCASS	LC's Account No. at CCASS Note: CP must enter a value for this field when they approve the SSTI. This applies to SSTI only		
GC's Account at LC	GC Account No. at LC for the Fund of the trade		

# 7.3 SI/STI Approvals and Rejections

SIs and STIs can be approved or rejected on the Settlement Instruction Details view. Only users belonging to the same Participant Entity can see the internal approval status of Transaction Balance Input Only User and Transaction Balance Input Authorise User. Other Participants involved in the transaction can only see approvals from the entity level. E.g. if the GC maker has approved but the GC checker not yet approve, other entity (e.g. AM / LC) will not know it (they will not know the internal approval process), until the GC checker also approved, other entity will see a tick under GC column in the SI list view.

GCs, LCs, and CPs are the only participants required to approve an SI/STI. AMs and EPs can only view the Settlement Instruction Details.

Approval or rejections of the SIs and STIs by the GC, LC, or CP do not need to be done in a specific order. For example, an SI does not require a specific buy side participant to approve before the other, and the SI does not require the sell side participant to approve before the buy-side.

### 7.3.1 Buy Side



## 7.3.1.1 Content of DTCC's SN containing Investment Manager counterparty data

The fields that store EP's account at CP and relevant information in Synapse contain the investment manager counterparty account information, of the broker itself or another intermediary used, at the level of the CCASS participant servicing the broker's custody chain.

As such, these fields might contain account information received by Synapse from matching platform provider DTCC via SWIFT MT541 and MT543 in:

- BUYR/SELL block, i.e. the broker's account at the level of the CCASS participant servicing the broker.
- DECU/RECU block, i.e. the broker's custodian's account at the level of the CCASS participant servicing the broker.
- DEI1/REI1 block, i.e. the broker-custodian's intermediary's account at the level of the CCASS participant servicing the broker.

To determine the block to be utilized for retrieving the EP's account at CP, Synapse will determine the level of clearing from the settlement notification from DTCC via SWIFT MT541 and MT543. Below table documents the extraction logic that drives the retrieval of EP's account at CP retrieval from settlement notification and execution sequence starts from 3-Level of Clearing to 1-Level of Clearing.

#### Extraction Logic of EP's account at CP

Level of Clearing	Conditions	Execute the retrieval logic if the condition is true	Examples
3-Level of	DEL1/REI1, DECU/RECU and BUYR/SELL block	Retrieve 97A block from BUYR/SELL	:95P::REI1//[BIC] :97A::SAFE// <b>12345</b>
Clearing	are sent via SWIFT MT54x and DEI1/REL1 block is identified		:95Q::REI1//[Name and Address] :97A::SAFE// <b>23456</b>
2-Level of	DECU/RECU and BUYR/SELL blocks are	Retrieve 97A block from DECU/RECU	:95P::RECU//[BIC] :97A::SAFE// <b>12345</b>
Clearing	sent via SWIFT MT54x and DECU/RECU block is identified		:95Q::RECU//[Name and Address] :97A::SAFE// <b>23456</b>
1-Level of	BUYR/SELL block is sent via SWIFT MT54x and	Retrieve 97A block from DEI1/REL1	:95P::BUYR//[BIC] :97A::SAFE// <b>12345</b>
Clearing	BUYR/SELL block is identified		:95Q::BUYR//[Name and Address] :97A::SAFE// <b>23456</b>

### 7.3.1.2 Input the Client Account Number and Processing Reference in CCASS SI

After successfully loading the investment manager counterparty data into Synapse, Synapse will display the EP's account at CP, under KEY SETTLEMENT DETAILS tab under Participants section. Synapse users will be able to see the field during the review of settlement details.

Also, the EP's account at CP will be populated in either CCASS field Client Account Number or Processing Reference and sent to CCASS from Synapse. Whether Client Account Number and Processing Reference are populated is depending on whether the broker's CCASS-intermediary's CCASS ID is beginning with "- B" or "- C". The following table shows how these 2 fields will be populated by Synapse in a CCASS SI:

Buy Side instructing Receipt / Sell Side instructing Delivery						
	Broker's CCASS-intermediary's		Broker's CCASS-intermediary's			
	CCASS ID starting with - B		CCASS ID starting with - C			
	Population of Population of		Population of	Population of		
	Client account	Processing	Client account	Processing		
	number	reference	number	reference		
Investment Manager's						
CCASS-intermediary's	GC's account at	"" + SYN-EP's	GC's account at	"" + SYN-EP's		
CCASS ID starting with	LC	account at CP	LC	account at CP		
- C						
Missing/Empty value found						

Display Result in CCASS C3T	N/A, as the value is sourced from Synapse Fund Profile	SYN-	N/A, as the value is sourced from Synapse Fund Profile	SYN-
Buy Side Delivering / Sell	Side Receiving			
	Broker's CCASS-ir CCASS ID starting	ntermediary's   with - B	Broker's CCASS- CCASS ID starting	intermediary's g with - C
	Population of Client account number	Population of Processing reference	Population of Client account number	Population of Processing reference
Investment Manager's CCASS-intermediary's CCASS ID starting with - C	GC's account at LC	"" + SYN-EP's account at CP	EP's account at CP	"" + SYN-GC's account at LC
Missing/Empty va	lue found			
Display Result in CCASS C3T	N/A, as the value is sourced from Synapse Fund Profile	SYN-	<empty></empty>	N/A, as the value is sourced from Synapse Fund Profile.

## 7.3.1.3 Asset Managers (AM)

AMs have view only rights to SI/STI processing.

HKEX Synapse The Power of Connectivity.					🖱 12 July 2024 @ synual1154 synual1154 - 🗙
Back Settlement Instruction Details Trade ID: 6171230310110020					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALT	H CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1200X	Trade Date	2023-09-01
Local Code	93986	Quantity	200,000	Туре	DEU
Name GIG4DEVICE	SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date	2024-07-11	Currency To Buy	USD
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC	54202406	Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane,NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019

## 7.3.1.4 Global Custodian (GC)

Approval by GC Transaction Balance Input Only User; Approval by GC Transaction Balance Input Authorise User:



### Approval by GC Transaction Balance Input Only User:

- 1. The GC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The GC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HKEX S	Synapse				Q							0		B 117	April 2023	⊕ synual071 sy	muat071 - 🔀
	Dashboard		Settlement	Instructions				Funds		Relationships		Market Data				Reports	
Settlement Inst	ructions																
SETTLEMEN		ONS	5	5	0	1	0									Q Search	Generate Report
			Proce	essing Unmatch	hed Matche	d Settled	1 Cancelle	d									
																2021-06	+05 🗖
INS TYPE 4 T	ISIN 6 T	QUANTITY & T	SETTLEMENT CURR	ENCY 6 T	SETTL	EMENT AM	OUNT 6 7	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC * *	EP BIC * T	TRADE ID . T	GC 6 T	LCOT	СР≜т	STATUS * *	
STI	CNE100003059	22,312	CNY		4,065,6	177.07		DEU	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-		DETAILS >
SI	CNE10003039	2,231	CNY		4,065,8	177.07		DEU	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-		DETAILS >
SI	CNE100003059	29,625	CNY		4,065,8	177.07		DEU	DVP	542231		2119394155771021	-	-	-		DETAILS >
STI	CNE100003059	29,627	CNY		4,065,5	177.07		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
STI	CNE1000030 S9	29,627	CNY		4,065,5	177.07		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS
51	CNE100003059	29,622	CNY		4,065,5	177.07		DEU	DVP	542231		2119394155771021	~	~	-	Unmatched	DETAILS
SI	CNE100003059	29,621	CNY		4,065,5	77.07		DELI	DVP	542231		2119994155771021	1	1	-	Unmatched	DETAILS
SI	CNE100003059	29,624	CNY		4,065,5	177.07		DELI	DVP	542231		2119394155771021	~	~	-	Unmatched	DETAILS
51	CNE100003053	29,623	CNY		4,065,5	77.07		DELI	DVP	542231		2119994155771021	1	~	-	Unmatched	DETAILS
SI	CNE100003059	29,626	CNY		4,065,5	77.07		DEU	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	-	Unmatched	DETAILS
51	CNE100003053	2,775	CNY		4,065,5	77.07		DEU	DVP	543036	DTGCSELLXXX	3008004155771021	~	~	~	Settlod	DETAILS

3. The GC Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

HKEX Synapse The Power of Connectivity.					🖻 09 July 2024 🕀 synual2069 synual2069 - 🏋
+Back Settlement Instruction Details Trade ID: 6171230310	0110020				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH100X	Trade Date	2023-09-01
Local Code	93906	Quantity	200.000	Type	DEU
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
IP.	55202406	AM BIC	SYNCOMPITIX	LC RIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SvnComp173	LC Name	SvnCome112
Fund Account at GC	54202406	Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		



Approval by GC Transaction Balance Input Authorise User:

 On the Settlement Instructions List view, the GC Transaction Balance Input Authorise User is informed that the GC Transaction Balance Input Only User has approved an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the GC column.

001011																	
HKEX S	ynapse														Npril 2023	@ cymuat073 cy	nuat073 - 💢
	Dashboard		Settlement In	structions				Funds		Relationships		Market Data				Reports	
Settlement Instru	uctions																
SETTLEMEN	TINSTRUCTIO	ONS	5 Process	5 ng Unmatche	0 d Matched	1 Settled	0 Cancelled									Q. Search	Generate Report
																2021-00	w 0
INS TYPE 4 T	ISIN <sup>4</sup> T	QUANTITY 6 T	SETTLEMENT CURREN	CY 4 T	SETTLE	MENT AMO	DUNT 4 T	TYPE * T	PAYMENT MODE * *	FUND ACCOUNT AT GC * T	EP BIC * *	TRADE ID * *	GC 4 T	LCAT	CP 1 T	STATUS * *	
STI	CNE100003059	22,312	CNY		4,065,97	.07		DEU	DVP	542231	DTCCSELLXOX	2231094155771021	-	-	-		DETAILS
SI	CNL100003059	2,231	CNY		4,065,97	.07		DEU	DVP	542231	DICCSELLOOK	2231994155771021	•	-			DETAILS
SI	CNE10000059	29,625	CNY		4,065,97	.07		DELI	DVP	542231	EXCLUSION A MODEL	2119994155771021					DETAILS
511	CNE100003039	29,627	CNY		4,065,97			DEL	DVP	542231	DIGCORLLOOK	2002004155771021		-			DETAILS
S11	CNESSOORDER	29,627	CNV		4 065 07	07		DEL	DVP	640301	UTAJOELLAAA	2110024155771021	1			Hematabod	DETAILS /
61 61	CNE100000050	29,621	CNV		4 065 97	07		DEL	DVP	542231		2110004155771021		-		Usmatched	DETAILS /
C1	CNE410002020	20,024	CNV		4 065 07	107		DEL	DVD	642221		2110004155771021	1			Usepatched	DETRIES /
51	CNE100000059	29,623	CNY		4 065 97	07		DEU	DVP	542231		2110004155771021	-	2	-	Unmatched	DETAILS /
51	CNF100003039	29.626	CNY		4 065 97	07		DELL	DVP	542231	DTCCSFLLXXX	2962994155774021	1	1	-	Usmatched	DETAILS )
si	CNE1000030 S9	2.775	CNY		4.065.97	07		DELI	DVP	543108	DTCCSELLXXX	3000994155771021	1	1	1	Settled	DETAILS
									Previous < > Next								

The GC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Approve".

HKEX Synapse The Power of Connectivity.					🗄 69 July 2024 🕲 symuat2070 symuat2070 - 🗙 🗙
+ Back Settlement Instruction Details Trade ID: 61	171230310110020	windinna suanninnin			Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT S	TATUS SI HEALTH CHECK TRANSACTION	I REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE 108003059	Depository BIC	3HKCHIRH1XXX	Trade Date	2023-09-01
Local Code	93906	Quantity	200.000	Type	DEU
Name	GIGADEVICE SEMICONDUCTOR/BELJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200.000.01	Deal Price	44.05
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
0	55202406	AM BIC	SYNCOMP173X	LC BIC	SVINCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC	54202406	Investor ID	300013	SPSA	8000001
		GC BIC	SYNCOMP356K	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		
HKEX Synapse The Power of Connectivity.					🗄 11 April 2023 @ symuat073 symuat073 🕤 🂢
+Back Settlement Instruction Details Trade ID: 2	231994155771021				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTIO	IN REFERENCES AND LIFECYCLE			
SI STATUS					
GC MAKER: V APPROVED	GC CHECKER: V APPROVED	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA		NA
				30	

2. If the LC has not yet approved the SI/STI, then the LC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI pending their approval by a '√' in the GC column and a '—' in the LC column.

HKEX S	Synapse								allan							8 11	April 2023	: (1) synuat073 s	ymuat073 - 💢
	Dashboard		Settler	ment Inst	tructions				Funds			Relationships		Market Data				Reports	
Settlement Inst	ructions																		
SETTLEMEN	NTINSTRUCTI	ONS	ł	5 Processing	5 g Unmatch	0 ned Matche	1 d Settle	0 d Cancell	od									Q. Searc	Generate Report
																		2021-0	6-05
INS TYPE 1 T	ISIN A T	QUANTITY * T	SETTLEMENT	CURRENCY	f 0 T	SETTL	MENT AN	IOUNT ^ T	TYPE ^ 7	PAYMENT M	ODE * T	FUND ACCOUNT AT GC * T	EP BIC * T	TRADE ID * T	GC * T	LCAT	CP * T	STATUS * T	
STI	CNE100003059	22,312	CNV			4,065,9	77.07		DELI	DVP		542231	DTGCSELLX00	223109415577102	-	-	-		DETAILS
51	CNE100003059	2,231	CNV			4,065,9	77.07		DELI	DVP		542231	DTCCSELLOO	223199415577102	× 1	-	-		DETAILS
SI	CNE100003059	29,625	CNY			4,065,9	77.07		DEU	DVP		542231		2119994155771021	-	-	-		DETAILS
STI	CNE100003059	29,627	CNY			4,085,9	77.07		DEU	DVP		542231	DTCCSELLICO	296209415577102	-	-	-		DETAILS
STI	CNE100003039	29,627	CNY			4,065,9	77.07		DEU	DVP		542231	DTCCSELLIOO	296209415577102	-	-	-		DETAILS
51	CNE100003039	29,622	CNY			4,065,9	17.07		DEU	DVP		542231		2119994155771021	~	~	-	Unmatched	DETAILS
SI	CNE100003059	29,621	CNY			4,065,9	17.07		DEU	DVP		542231		2119994155771021	~	~	-	Unmatched	DETAILS
SI	CNE100003059	29,624	CNY			4,065,9	77.07		DELI	DVP		542231		2119994155771621	~	~	-	Unmatched	DETAILS
51	CNE100003059	29,623	CNY			4,065,9	77.07		DELI	DWP		542231		2119994155771021	~	1	-	unmatched	DETAILS
si	CNE100003059	29,626	CNV			4,065,9	77.07		DELI	DVP		542231	DTGCSELLX00	c 296299415577102	~	× .	-	Unmatched	DETAILS
si	CNE100003039	2,175	CNY			4,085,9	17.07		DEU	DWP		543008	DICOSELLOG	300899415577102	~	~	~	Setted	DETAILS

Rejection by GC Transaction Balance Input Only User; Rejection by GC Transaction Balance Input Authorise User (same rejection reason(s) between Input Only User and Input Authorise User):



### **Rejection by GC Transaction Balance Input Only User:**

1. The GC Transaction Balance Input Only User views the details of an SI/STI and clicks "Reject" and must select a rejection reason.



HKEX Synapse					🗂 11 April 2023 @ synuat071 synuat071 🤟 🍸
The Power of Connectivity.					
Back Settlement Instruction Details Trade ID: 21199	94155771021				Reject Approve
EY SETTLEMENT DETAILS SETTLEMENT STAT	US SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS	Account Servicer Deadline Missed (ADEA)				
	Cash Account (CASH)				
SIN Incol Code	Common Reference Rejection (IIND)				2021-06-05
Name	Deal Price (DDEA)				DVP
	Impossible Cash Settlement System [CASY]				CNY
	Impossible To Use The RTGS System Instructed [RTGS]				44.05
	Invalid Balance (INVB)				USD
	Invalid Investor Party [INVE]				
	Invalid Link [INVL]				
UND DETAILS	Invalid Lot Number (INVN)				
	Invalid Rule (VALR)				
D	Lark Of Stamp Date (SDUT)				JMPPMJ5500X
Name Fund Account at GC	Market Deadline Missed II ATF				5yrComp321 8000001
	Minimum Settlement Quantity (MINO)				
	Multiple Settlement Quantity [MUNO]				B01110
	Other (OTHR)				
	Physical Sottlement Impossible (PHYS)				
	Place Of Listing (PLIS)				
	Place Of Safekeeping (INPS)				
	Place of Trade (PLCC)				
	Quartity Baiering (DQ13)				
	Receiving Delivering Depository (DEPT)				
	Receiving Delivering Party 1 (ICAG)				
	Receiving Delivering Party 2 [ICUS]				
	Receiving Delivering Party 3 [IEXE]				
	Reference Rejection [REFE]				
	Safekeeping Account Rejection (SAFE)				
	Settlement Amount Currency Rejection (NCRR)				
	Settement Amount Rejection (DRION)				
	Settlement System Method Rejection (SETS)				
	Settlement Transaction Relection (SETR)				
	Tax Status Rejection (TXST)				
	Trade Date (DTRD)				
				4	
HKEX Synapse The Power of Connectivity.					🗂 11 April 2023 @ synuat071 synuat071 🗸 💢
Back Settlement Instruction Details Trade ID: 211	5554155771021				Rept
KEY SETTLEMENT DETAILS SETTLEMENT S	TATUS SI HEALTH CHECK TRANSACTION	I REFERENCES AND LIFECYCLE			
Successfully Rejected					
SI STATUS					
GC MAKER: × REJECTED	GC CHECKER: -	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
Invalid Rule [VALR]	NA	NA	NA		NA
	1			1	1

### **Rejection by GC Transaction Balance Input Authorise User:**

1. On the Settlement Instructions List view, the GC Transaction Balance Input Authorise User is informed that the GC Transaction Balance Input Only User has rejected an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the GC column.

HKEX S	ynapse				1 VQ		ſ					0		0 11 4	4pril 2023	@ synuat073 sy	muat073 - 💢
	Dashboard		Settlemen	11 Instructions			F	unds		Relationships		Market Data				Reports	
Sottlemont Instr	uctions																
SETTLEMEN		ONS	5	5	0	1 (	1									Q. Search	Generate Report
			Proc	cessing Unmatch	hed Matche	d Settled C	ancelled									2021-06	LOS 🗖
INS TYPE - T	ISIN 4 T	QUANTITY - T	SETTLEMENT CUR	RENCY	SETTLE	EMENT AMOUN	T - T	TYPE 4 7	PAYMENT MODE *	FUND ACCOUNT AT GC 4 T	EP BIC * T	TRADE ID 4 T	GC 4 T	LCAT	CP • T	STATUS - T	
STI	CNE100003059	22,312	CNY		4,065,9	77.07		DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-		DETAILS
SI	CNE100003059	29,625	CNY		4,065,9	77.07		DELI	DVP	542231		2119994155771021		-	-		DETAILS
STI	CNE100003059	29,627	CNY		4,065,9	77.07		DELI	DVP	542231	DTCCSELLXXX	2952094155771021	-	-	-		DETAILS
STI	CNE100003059	29,627	CNV		4,065,9	77.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS
SI	CNE100003059	29,622	CNY		4,065,9	77.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
51	CNE100003059	29,621	CNV		4,065,9	77,07		DEU	DVP	542231		2119394155771021			-	Unmatched	DETAILS
si	CNE100003059	29,624	ONV		4,065,9	77.07		DEU	DVP	542231		2119994155771021	1	1	-	Unmatched	DETAILS
si	CNE100003039	29,823	CNY		4,065,9	77,07		DEU	DVP	542231		2119994155771021			-	Urmatched	DETAILS
01 91	CHE100003038	20,020	CNV		4,065,9	77.67		DELL	099	545000	DTCCSELLOOK	200200155771021	1		-	Catlined	DETAILS )
51	CNE100003039	2,775	CINY		4,065,9	77.07		DEU	0VP	545000	DTCCSELLAX	3000894155771021			-	Setted	DETAILS >
	501610000000000	a.a.d.)			4,000,8			000	Designed as a big		0.000ELEDAX	220 1001 1001 / 1021					warning /

2. The GC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Reject" and must select a rejection reason.

	1.				
HKEX Synapse The Power of Connectivity.					🗆 09 July 2024 🕀 symual2070 symual2070 🗸 💢
+Back Settlement Instruction Details Trade ID: 617123031	0110020				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
1CIN	CNE100003059	Depository BIC	2016/2010/12/22	Trade Date	2023.08.01
Local Code	93506	Quantity	200.000	Type	DELL
Name	GIGADEVICE SEMICONDUCTOR/BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
0	55302408	AM RIC	SVNC0MD173Y	LC BIC	SVMCOMP1178
Name	Fund Profile 202406	AM Name	SynComo173	LC Name	SunComp112
Fund Account at GC	54202405	Investor ID	300013	SPSA	5000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buver, 200 Buver Lane NV, NV 55555
		GC Name	SymComp356	Counterparty - CP CCASS ID	C00119
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

3. The GC Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, then the rejection is executed.



HKEX Synapse The Power of Connectivity.					🗅 11 April 2023 @ synuat073 synuat073 🕤 🗶
- Buck Settlement Instruction Details Trade ID: 211					Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT ST	ATUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	SE	TTLEMENT DETAILS		TRADE DETAILS	
ISIN Local Code Name	REJECTION CODE: Please select the code corresponding to your reason f	or rejection of this Settlement Instruction:			2021-05-05 DELI DVP
FUND DETAILS	anadar Rula (Pro. V)			Cancel Submit	4486 630 630
ID Name Fund Account at GC					JMPPAJ55DCK SymComp521 8000001
HKEX Synapse The Power of Connectivity.	199941557/10/1				🗂 11 April 2023 (i) synuat073 synuat073 - 🗙
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
Successfully Rejected					
OC UNKER X REJECTED Reason: Invalid Rate [VALI]	GC CHECKER: X REJECTED Resent: twatel Rule (WLR)	LC APPROVED: Reasons NA	CP AFPROVED:	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Researc: NA

4. If the LC has not yet approved the SI/STI, then the LC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI that has been rejected by a 'X' in the GC column.

HKEX S	ynapse										0		<b>0</b> 117	ipril 2023	() synuat073 sy	must073 ~ 💢
	Dashboard		Sottloment In	structions			Funds		Rolationships		Markot Data				Reports	
Settlement Instr	uctions															
SETTLEMEN	TINSTRUCTIO	ONS	5 Processi	5 ng Unmatche	0 1 d Matched S	<b>0</b> ettled Cance	fled								Q Search	Generate Report
															2021-06	-05 🗖
INS TYPE **	ISIN 4 7	QUANTITY * *	SETTLEMENT CURREN	Y * Y	SETTLEMEN	TAMOUNT	TYPE**	PAYMENT MODE	FUND ACCOUNT AT GC 6 7	EP BIC **	TRADE ID **	GC * *	LC * *	CP * *	STATUS **	
STI	CNE100003059	22,312	CNY		4,065,977.07		DEU	DVP	542231	DTCCSELLOOK	2231094155771021	-	-	-		DETAILS
51	CNE100003039	29,625	CNY		4,065,977.07		DEU	DVP	542231	DTOODELLYON	2119994155771021	×	-	-		DETAILS >
ST	CNE10000039	29,627	CNY		4,005,077.07		DEU	CIVP	542231	DTCCSELLOOK	2962091155771021	-	-	-		DETAILS )
SI	CNF10000059	29.622	CNY		4 865 877 07		DPU	DVP	542234	01000000000	2119994155771021	~	~		Unmalshed	DETAILS )
SI	CNE1000030.59	29.621	CNY		4,065,977.07		DELI	OVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
SI	CNE100003059	29,624	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
51	CNE100003059	29,623	CNY		4,065,977.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
SI	CNE100003059	29,626	CNY		4,065,977.07		DELL	DVP	542231	DTCCSELLX0X	2962994155771021	1	1	-	Unmatched	DETAILS
51	CNE100003059	2,775	CNY		4,065,977.07		DELI	DVP	543008	DTCCSELLXXX	3008094155771021	~	~	~	Setted	DETAILS >
SI	CNE100003059	2,231	CNY		4,065,977.07		DEU	DVP	542231	DTCCSELLXCX	2231994155771021	×	-	-		DETAILS >

- 5. This settlement instruction can be re-approved by GC Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved. The re-approval process is the same as approval.
- 6. The settlement instruction can also be re-rejected by GC Transaction Balance Input Only and Input Authoriser Users again if the rejection reason needs to be updated. The re-rejection process is the same as rejection.

#### Approval by GC Transaction Balance Input Only User; Rejection by GC Transaction Balance Input Authorise User:



- Since the decisions between the GC Transaction Balance Input Only and the GC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. GC Transaction Balance Input Only User can see the Approval is rejected by GC Transaction Balance Input Authorise Users on Settlement Status page.

Н	KEX Synapse				•	🗄 11 April 2023 🕀 synual073 synual073 🕤 💢						
+ Bas	Settlement Instruction Details Trade ID: 29620	94155771021				Reject Approve						
KEY	EY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE											
C Reje	cted to Maker											
	SI STATUS											
	GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:						
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:						
	NA	NA	NA	NA	NA	NA						
	1	I	1	1	1	1						

 On SI List View, the icon will change from 'O' to '-' under GC column as the process needs to start again from GC Transaction Balance Input Only User. The GC Transaction Balance Input Only User can then re-approve or re-reject the rejected settlement instruction.

The re-approval process is the same as approval, while the re-reject process is the same as rejection.

HKEX S	Synapse					V							0		₿ 11.	April 2023	t @ synuat073 s	/nuat073 ~ 🔀
	Dashboard		Settle	ement Ins	structions				Funds		Relationships		Market Data				Reports	
Settlement Instr	uctions																	
SETTLEMEN	IT INSTRUCT	ONS		5 Processin	5 ng Unmate	<b>O</b> hed Matche	<b>1</b> d Settle	<b>O</b> d Cancel	led								Q Search	Generate Report
																	2021-0	HI0 0
INS TYPE **	CNE100003059	QUANTITY **	SETTLEMENT	CURRENC	Y	4 085 S	EMENTAN 77.07	KOUNT **	DELL	PAYMENT MODE ***	FUND ACCOUNT AT GC ** 542231	EP BIC **	2231004155771821	GC	LC • •	CPAT	STATUS	DETAILS )
STI	CNE100003059	28.627	CNY			4.065.9	77.07		DEU	OVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		OCTAILS >
STI	CNE100003059	28,627	CNY			4,005,9	77.07		DELL	OVP	542231	DTCCSELLXXX	2962094155771021		-	-		DETAILS >
51	CNE100003059	29,622	CNY			4,005,9	77.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
SI	CNE100003059	29,621	CNY			4,065,9	77.07		DELI	OVP	542231		2119994155771021	×	1	-	Unmatched	DETAILS >
51	CNE100003059	29,624	CNY			4,065,9	77.07		DELI	CVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
\$1	CNE100003059	29,623	CNY			4,065,9	77.07		DELL	DVP	542231		2119994155771021	×	1	-	Unmatched	DETAILS >
SI	CNE100003059	29,626	CNY			4,065,9	77.07		DEU	DVP	542231	DTOCSELLXXX	2962994155771021	~	~	-	Unmatched	DETAILS >
si	CNE100003059	2,775	CNY			4,065,9	77.07		DEU	DVP	543018	DTCCSELLXXX	3008994155771021	~	~	~	Settled	DCTAILS >
SI	CNE100003059	2,231	CNY			4,065,9	77.07		DELI	DVP	542231	DTCCSELLOOK	2231994155771021	~	-	-		DETAILS >
51	CNE1000030/59	29,625	CNY			4,065,9	77.07		DELI	DVP	542231		2119994155771021	×	-	-		DETAILS >

#### **Rejection by GC Transaction Balance Input Only User;**

Rejection by GC Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):

1. On SI List View, the icon will change from 'O' to '-' under GC column as the process needs to start again from GC Transaction Balance Input Only User. The GC Transaction

Balance Input Only User can then re-approve or re-reject the rejected settlement instruction.

The re-approval process is the same as approval, while the re-reject process is the same as rejection.

HKEX S	Synapse												0		B 11	April 2023	i @ synuat073 sy	muət073 - 💢
	Dashboard		Set	ttlement in	structions				Funds		Relationships		Market Data				Reports	
Settlement Inst	ructions																	
SETTLEMEN	IT INSTRUCT	ONS		5	5	0	1	0									Q Search	Generate Report
				Processi	ing Unmatch	d Matched	Settled	Cancelle	d									
																	2021-06	-05 🗖
INS TYPE ^ *	ISIN * *	QUANTITY & *	SETTLEME	INT CURREN	CYAT	SETTLE	MENT AMO	UNT • •	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC **	EP BIC **	TRADE ID * *	GC ^ *	LC * *	CP <sup>6</sup> 7	STATUS * *	
STI	CNE1000030.59	22,312	CNY			4,085,97	7.07		DEU	DVP	542231	DTCCSELLXXX	2231004155771021	-	-	-		DETAILS
STI	CNE1000030 S9	29,627	CNY			4,085,97	7.07		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
STI	CNE1000030.59	29,627	CNY			4,085,97	7.07		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS
51	CNE1000030.59	29,622	CNY			4,085,97	7.07		DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
\$1	CNE1000030 SP	29,621	CNY			4,085.97	7.07		DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
SI	CNE1000030.59	29,624	CNY			4,085,97	7.07		DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
51	CNE1000030 S9	29,623	CNY			4,065,97	7.07		DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
\$1	CNE100003059	29,626	CNY			4,065,97	7.07		DEU	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	-	Unmatched	DETAILS >
SI	CNE1000030 S9	2,775	CNY			4,065,97	7.07		DEU	DVP	543006	DTCCSELLXXX	3008994155771021	~	~	~	Settled	DETAILS
51	CNE100003059	2,231	CNY			4,055,97	7.07		DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	-	-		DETAILS
51	CNE100003059	29,625	CNY			4,055,97	7.07		DELI	DVP	542231		2119994155771021	×	-	-		DETAILS
										Previous < > N	Brd.							

#### Rejection by GC Transaction Balance Input Only User; Approval by GC Transaction Balance Input Authorise User:



- Since the decisions between the GC Transaction Balance Input Only and the GC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. GC Transaction Balance Input Only User can see the Rejection is rejected by GC Transaction Balance Input Authorise Users on Settlement Status page.

H	KEX Synapse				•	🖻 11 April 2023 🕀 synual073 synual073 - 🇙 🏌
	Settlement Instruction Details Trade ID: 22310	94155771021				Reject Approve
KEY S	ETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
© Reject	ed to Maker					
	SI STATUS					
	GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA	NA
		l.		I		

 On SI List View, the icon will change from 'O' to '-' under GC column as the process needs to start again from GC Transaction Balance Input Only User. The GC Transaction Balance Input Only User can then re-approve or re-reject the rejected settlement instruction.

The re-approval process is the same as approval, while the re-reject process is the same as rejection.

HKEX S	Synapse					V			aaa						o		B 117	April 2023	(i) synuat073 sy	muat073 - 💙	C
	Dashboard		Settlem	ent instr	actions				Funds			Relationships			Market Data				Reports		
Settlement Instr	ructions																				
SETTLEMEN		ONS	5		5	0	1	0											Q Search	Generate R	port
			Pr	ocessing	Unmatche	d Matched	Settled	Cancelle	d												
																			2021-06	-05	
INS TYPE ^ *	ISIN * *	QUANTITY	SETTLEMENT CU	JRRENCY		SETTLE	ENT AM	UNT 1 T	TYP	E · ·	PAYMENT MODE	FUND ACCOUNT AT GC *	- EP BIC		TRADE ID * *	GC ^ T	LC * T	CP 5 7	STATUS * *		
STI	CNE100003059	22,312	CNY			4,085,977	.07		DEL	J	DVP	542231	DTCCS	ELLXXX	2231004155771021	-	-	-		DETAILS	
STI	CNE100003059	29,627	CNY			4,065,977	.07		DEL	1	DVP	542231	DTCCS	ELLIOX	2962094155771021	-	-	-		DETAILS >	
STI	CNE100003059	29,627	CNY			4,065,977	.07		DEL	J	DVP	542231	DTCC5	ELLXXX	2962094155771021	-	-	-		DETAILS	
51	CNE1000030.59	29,622	CNY			4,065,977	.07		DEL	1	DVP	542231			2119994155771021	~	~	-	Unmatched	DETAILS >	
\$1	CNE100003059	29,621	CNY			4,085,977	.07		DEL	3	DVP	542231			2119994155771021	~	×	-	Unmatched	DETAILS >	
51	CNE1000030.59	29,624	CNY			4,065,977	.07		DEL	J	DVP	542231			2119994155771021	~	~	-	Unmatched	DETAILS >	
51	CNE100003059	29,623	CNY			4,065,977	.07		DEL	1	DVP	542231			2119994155771021	~	~	-	Unmatched	DETAILS >	
\$1	CNE100003059	29,626	CNY			4,065,977	.07		DEL	1	DVP	542231	DTCCS	ELLIOX	2962994155771021	~	~	-	Unmatched	DETAILS >	
51	CNE1000030 S9	2,775	CNY			4,065,977	.07		DEL	1	DVP	543008	DTCCS	ELLIOX	3008994155771021	~	~	~	Settled	DETAILS	
51	CNE100003059	2,231	CNY			4,065,977	.07		DEL	1	D/IP	542231	DTCCS	ELLIOOK	2231994155771021	~	-	-		DETAILS	
51	CNE100003059	29,625	CNY			4,065,977	.07		DEL		DVP	542231			2119994155771021	×	-	-		DETAILS	
										1	Previous < > Next										

#### Health check findings in SI Health Check tab

#### Background

To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

#### **Workflow and Process**

For a buy-side instruction, an alert message will be prompted in the approval workflow to both <u>GC Transaction Balance Input Only User</u> and <u>GC Transaction Balance Input Authorise User</u> when failure reason(s) is/are displayed in the SI Health Check tab.

#### Recommendation

Refer to the chapter 7.6 for business validations of settlement instruction and recommendations on resolving health check findings.



1. The GC Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

HKEX Synapse				*	🗇 10 July 2024 🏵 synual2069 synual2069 🕤 🏌
◆Back Settlement Instruction Details Trade ID: 6 <sup>4</sup>	171230902150034				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT S	STATUS SI HEALTH CHECK TRA	ANSACTION REFERENCES AND LIFE	ECYCLE		
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE00000040	Depository BIC	XHKCHKH1XXX	Trade Date	2023-09-0
Local Code	70001	Quantity	340,000	Туре	RECI
Name	PING AN BANK CO., LTD. (A #000001)	Settlement Date	2023-09-01	Payment	DVI
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	340,000.01	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USI
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112
Name	Fund Profile 202408	AM Name	SynComp 173	LC Name	SynComp 11.
Fund Account at GC	54202406	Investor ID	300013	SPSA	8000000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Seller, 300 Seller Lane, NY, NY 6666
		GC Name	SynComp356	Counterparty - CP CCASS ID	80113
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP			

2. If a settlement instruction fails the health check, an alert message will be prompted up "Please go to "SI HEALTH CHECK". There is a health check finding.".

HKEX Synapse The Power of Connectivity. • Back Settlement Instruction Details Trade ID: 6171230902	1150034			🗖 10 July 2024 @ synuat2069 synuat2069 🗸 🗙
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION REFERENCES	S AND LIFECYCLE		
SI HEALTH CHECK:				
CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE	
✓ ISIN	Health Check Passed	-	-	
Settlement Date	Health Check Passed		-	
Counterparty ID				
EP's account at CP	EP's account at CP is empty	-	-	

3. The GC Transaction Balance Input Only User could either click **Continue** to confirm the approval or **Abort** to stop the approval process and check the exception found in the tab "SI Health Check". The GC Transaction Balance Input Only User can restart the approval process after identifying the exception category.

HI	KEX Synapse					🗇 10 July 2024 🕃 symuat2069 symuat2069 🗸 💢
	Settlement Instruction Details Trade ID: 61					Reject Approve
KEY S	ETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANS	ACTION REFERENCES AND LIFECYCLE			
	SI STATUS					
	GC MAKER:	GC CHECKER: -	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA	NA
			Alert Message			
			Please go to "SI HEALTH CH check finding.     Click Abart to stop the approv Centinue to confirm the approv	4ECK' There is a health val process, or Click real. Continue Abort		

4. The GC Transaction Balance Input Only User clicked **Continue** to confirm the approval and the system message shows "Successfully Approved".

H The ← Bac	🗆 10 July 2024 🟵 synual2069 synual2069 🗸 💢					
KEY S	SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANS	ACTION REFERENCES AND LIFECYCLE			
⊗ Succe	essfully Approved					
	SI STATUS					
	GC MAKER: V APPROVED	GC CHECKER: -	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA	NA
5. The same approval process will be applied to the GC Transaction Balance Input Authorise User.

# 7.3.1.5 Local Custodian (LC)

Approval by LC Transaction Balance Input Only User; Approval by LC Transaction Balance Input Authorise User



#### Approval by LC Transaction Balance Input Only User:

- 1. The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

<b>HK</b> The Po	EX Synapse wer of Connectivity.							🖬 13 April 2	1023 🕃 synuat	141 synuat141 👻 🚶
	Dashboard	Settlement Instru	Ictions	Funds		Relations	hips	Market Data		Reports
Settlem	ent Instructions									
s	STRUCTIONS	5 Proc	O essing Unmatched	0 I Matched	1 Settled	0 Cancelled			Q S	earch Generate Report
									202	1-06-05
INS <sup>4</sup> TYPE		* SETTLEMENT CURRENCY	A SETTLEMENT AMOUNT	<sup>▲</sup> ▼ TYPE <sup>▲</sup> ▼	MODE	AT LC	CP CCASS	<sup>▲</sup> ▼ SPSA <sup>▲</sup> ▼ TRADE ID <sup>▲</sup> ▼ GO	3 ^ 7 LC ^ 7 CP	A T STATUS A T
SI	CNE1000030S9 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269 🗸	<ul> <li>✓</li> </ul>	Settled DETAILS >
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943 -		DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 000000756190944 -		DETAILS >
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941 -		DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942 -		DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 s < → Next	B01110	80000001 000000756190940 🗸		DETAILS >

HKEX Synapse The Power of CounsetMily		5 09 July 2024 @ symut 783 - 🂢
Back Settlement Instruction Details Trade ID: 6171230310110020		Варест Арреоне
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE	
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS
ISIN CNE10003059	Depository BIC 3HKCHIO130X	Trade Date 2023.09.01
Local Code 93986	Quantity 200.000	TVPE DELL
Name GIGADEVICE SEMICONDUCTOR(BELIING) INC	Settlement Date 2023-09-01	Payment DVP
	Settlement Currency CNY	Deal Price Currency CNY
	Settlement Amount 200,000.01	Deal Price 44.06
	Effective Settlement Date 2023-09-01	Currency To Buy
	Settled Currency CNY	Currency To Sell
	Settled Amount 200,000.01	FX Cancellation
	Real-Time Settlement Indicator False	
FUND DETAILS	PARTICIPANT DETAILS	
ID 55202496	AM BIC SYNCOMP173X	LC BIC SYNCOMP112K
Name Fund Profile 202406	AM Name SynComp173	LC Name SynComp112
	Investor ID 300013	SPSA 8000001
	GC BIC SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI) Buyer, 200 Buyer Lane, NY, NY 55555
	GC Name SynComp356	Counterparty - CP CCASS ID C00019
	GC's Account at LC 76202406	CP's Account at CCASS
	EP's Account at CP 12345678	

3. The LC Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

IKEX Synaps Power of Connectivity.	e			🗖 13 Ap	ril 2023 🖲 synuat141 synuat141 🕤 💢
ck Settlement Instruction	Details Trade ID: 000000075	6190940			Reject Approve
SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TRANS	ACTION REFERENCES	S AND LIFECYCLE	
SI STATUS					
LC MAKER: -	LC CHECKER: -	GC APPROVED: V APPROVED	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Resson	Reason:	Reason:	Reason:	Reason:
and the second sec		1			
	NA	NA	NA	NA	NA
NA HKEX Synaps he Power of Connectivity.	NA Se	NA .	NA	NA 🗖 13 Ar	NA vil 2023 ③ synuat141 synuat141 ~ 🂢
NA HKEX Synaps he Power of Connectivity. ack Settlement Instruction (SETTLEMENT DETAILS	NA SC Details Trade ID: 000000075 SETTLEMENT STATUS	NA 56190940 SI HEALTH CHECK TRANS	NA SACTION REFERENCES	NA D 13 Ar S AND LIFECYCLE	NA vil 2023 @ synuat141 synuat141 ~ X
NA HKEX Synaps he Power of Connectivity: ack Settlement Instruction / SETTLEMENT DETAILS cccestfully Approved	NA Details Trade ID: 000000075 SETTLEMENT STATUS	NA F6190940 SI HEALTH CHECK TRANS	NA SACTION REFERENCE:	NA TI 13 AF	NA vil 2023 @ synuat141 synuat141 v X Meisect Approve
NA HKEX Synaps he Power of Connectivity: ack Settlement Instruction / SETTLEMENT DETAILS ccossfully Approved SI STATUS	NA SE Details Trade ID: 000000075 SETTLEMENT STATUS	NA 6190940 SI HEALTH CHECK TRANS	NA SACTION REFERENCES	NA	NA vil 2023 ③ synuat141 synuat141 ~ X Reject Approve
NA HKEX Synaps he Power of Connectivity: ack Settlement Instruction 'SETTLEMENT DETAILS ccessfully Approved SI STATUS LC MAKER: ~ APPROVED	Details Trade ID: 000000075 SETTLEMENT STATUS	NA IG190940 SI HEALTH CHECK TRANS GC APPROVED: < APPROVED	NA SACTION REFERENCES	NA	NA vil 2023 ③ synuat141 synuat141 ~ X Biglazi Approve
NA HKEX Synaps he Power of Connectivity. ack Settlement Instruction 'SETTLEMENT DETAILS cossifully Approved SI STATUS LC MAKER: ~ APPROVED Reason:	Details Trade ID: 000000075 SETTLEMENT STATUS	NA IG190940 SI HEALTH CHECK TRANS GC APPROVED: ~ APPROVED Reason:	NA SACTION REFERENCES CP APPROVED: - Reason:	NA S AND LIFECYCLE CCASS STATUS: Reason:	vil 2023 ③ synuat141 synuat141 v X Figlan Approve CANCELLATION STATUS: Reason:

# Approval by LC Transaction Balance Input Authorise User:

 On the Settlement Instructions List view, the LC Transaction Balance Input Authorise User is informed that the LC Transaction Balance Input Only User has approved an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the LC column.

HK The Por	EX Synapse wer of Connectivity.							🛱 13 Apr	il 2023 🕒 :	synuat143	synuat143 🗸 🚶
	Dashboard	Settlement Instru	ctions	Funds		Relations	hips	Market Data		R	eports
Settlem	ent Instructions										
S IN	STRUCTIONS	5 Proce	O ssing Unmatched	0 Matched	1 Settled	0 Cancelled				Q Sean	ch Generate Report
INS A		* SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	▲ ▼ TYPE ▲ 3	PAYMENT	A T GC ACCOUNT A	₹ CP CCASS ID	▲ ▼ SPSA ▲ ▼ TRADE ID ▲ ▼	GC ≜ ∓ LC	^ ∓ CP ^ ∓	STATUS A Ŧ
SI	CNE100003089 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	<	~	Settled DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 000000756190943		-	DETAILS
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944		-	DETAILS
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941		-	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942		-	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP Previous	123456789 s < > Next	B01110	80000001 0000000756190940	× •	-	DETAILS >

2. The LC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Approve".

HKE) The Power of	K Synapse of Connectivity.					🗂 10 July 2024 🕲 synuat782 synuat782 🕤 🏌
+Back Sett	lement Instruction Details Trade ID: 617123031	0110020				Bapel Approve
KEY SETTLE	EMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION R	EFERENCES AND LIFECYCLE			
FINANCIAL I	INSTRUMENT DETAILS	SE	TTLEMENT DETAILS		TRADE DETAILS	
ICIN		CNE100003059	nensilaru BIC	VARCHONY	17 Taulo Data	2023.00.01
Local Code		93986 Qi	uantity	200.0	00 Type	DELI
Name		GIGADEVICE SEMICONDUCTOR(BELIING) INC Se	ettlement Date	2023-09	01 Payment	DVP
		Se	ttlement Currency	c	W Deal Price Currency	CNY
		Se	ttlement Amount	200,000	01 Deal Price	44.05
		Se	etted Currency	0	V/ Currency To Sell	
		Se	ttled Amount	200,000	01 FX Cancellation	
		Re	sal-Time Settlement Indicator	Fa	se	
FUND DETA	ILS	PA	RTICIPANT DETAILS			
ID .		55202406 AB	M BIC	SYNCOMP17	3X LC BIC	SYNCOMP112X
Name		Fund Profile 202406 Al	M Name	SynComp1	73 LC Name	SynComp112
		lar Cr	vestor ID	300	13 SPSA	8000001 Buser 200 Buser Laws MV MV 65555
		G	C Name	SinComp	56 Counterparty - CP (CASS ID	C00019
		GI	C's Account at LC	762024	06 CP's Account at CCASS	
←Back KEY SE	Settlement Instruction Details	S Trade ID: 00000007561909	HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	Reject Approve
5	SI STATUS					
	LC MAKER: ✓ APPROVED	LC CHECKER: -	GC APPROVED: ~ APPROVED	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
I	NA	NA	NA	NA	NA	NA
HH The F CBack	CEX Synapse Power of Connectivity. Settlement Instruction Detail	Is Trade ID: 000000756190	940 HEALTH CHECK TRANS	ACTION REFERENCES AND	13 April 2023	@ synuat143 synuat143 ~ X
@ Succes	ssfully Approved					
0 00000	SI STATUS					
						CANCELLATION STATUS
	Reason:	Reason:	Reason:	Reason:	CCASS STATUS:	Reason:
			NA.			No

3. If the GC has not yet approved the SI/STI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI pending their approval by a '√' in the LC column and a '—' in the GC column.

Rejection by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User (same rejection reason(s) between Input Only User and Input Authorise User):



#### **Rejection by LC Transaction Balance Input Only User:**

- 1. The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HKEX Synapse The Power of Connectivity.					🗖 09 July 2024 @ symual783 symual783 🗸 💢
eBack Settlement Instruction Details Trade ID: 617123031	0110020				Build Autors
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTIO	REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAIL S	
ISIN	CNE100003059	Depository BIC	XHKCHKH1300	Trade Date	2023-09-01
Local Code	93906	Quantity	200,000	Туре	DEU
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
10	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	80080001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane,NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

3. The LC Transaction Balance Input Only User views the details of an SI/STI and clicks "Reject" and must select a rejection reason.

HKEX Synapse The Power of Connectivity.					3 🕃 synuat141 synuat141 🕤 💢
	ils Trade ID: 00000007561909	941			Reject Approve
KEY SETTLEMENT DETAILS	REJECTION CODE:				
	Please select the code correspond	ding to your reason for rejection o	f this Settlement Instruction:		
ISIN				*	2021-06-05
Local Code				Cancel Submit	DELI
Name GIGADEVICE					CNY
					44.06
FUND DETAILS					
ID					JMPPMJ55XXX
Name					SynComp521
					EI)
	Gi	C Name C's Account at LC	SynComp511	Counterparty - CP CCASS ID	B01110
				CP's Account at CCASS	
			123430148	CP's Account at CCASS	
			123933168	CP's Account at CCASS	
HKEX Synapse The Power of Connectivity.				CP & Account at CLASS	5 @synuat141 synuat141 v 💢
HKEX Synapse The Power of Connactivity.	ils Trade ID: 00000007561909	41		CP # Account at CCASS	1 @synuat141 synuat141 ~ X
HKEX Synapse The Power of Connectivity. Back Settlement Instruction Detail KEY SETTLEMENT DETAILS	Ile Trade ID: 00000007561909 SETTLEMENT STATUS SI	A1 HEALTH CHECK TRANS	Action references and	I 13 April 2022     LIFECYCLE	) @ synuat141 synuat141 ~ X Rejeet Aparove
HKEX Synapse The Power of Connectivity. Back Settlement Instruction Detail KEY SETTLEMENT DETAILS § Successfully Rejected	IIs Trade ID: 00000007561909 SETTLEMENT STATUS SI	HEALTH CHECK TRANS	ACTION REFERENCES AND	CP # Account at CCASS	1 @ synuat141 synuat141 ~ X
HKEX Synapse The Power of Connactivity. Back Settlement Instruction Detail KEY SETTLEMENT DETAILS S Successfully Rejected SI STATUS	IIs Trade ID: 00000007561909 SETTLEMENT STATUS SI	HEALTH CHECK TRANS	ACTION REFERENCES AND	13 April 2023	1 @ synuat141 synuat141 ~ X
HKEX Synapse The Power of Connectivity. Back Settlement Instruction Detail KEY SETTLEMENT DETAILS S Successfully Rejected SI STATUS LC MAKER: X REJECTED	IIs Trade ID: 00000007561909 SETTLEMENT STATUS SI LIC CHECKER: -	HEALTH CHECK TRANS	ACTION REFERENCES AND	CP # Account at CCASS	(2) synuat141 synuat141      (2)
HKEX Synapse The Power of Connectivity. Back Settlement Instruction Detail KEY SETTLEMENT DETAILS S Successfully Rejected SI STATUS LC MAKER: X REJECTED Reson:	IIs Trade ID: 00000007561909 SETTLEMENT STATUS SI LC CHECKER: - Reason:	HEALTH CHECK TRANS	ACTION REFERENCES AND CP APPROVED: - Reason:	CCASS STATUS: Reason:	CANCELLATION STATUS: Reason:
HKEX Synapse The Power of Connectivity. Back Settlement Instruction Detail KEY SETTLEMENT DETAILS S Successfully Rejected SI STATUS LC MAKER: × REJECTED Resson: Account Servicer Deadline Missed (ADEA)	IIS Trade ID: 00000007561909 SETTLEMENT STATUS SI LC CHECKER: - Reason: NA	A1 HEALTH CHECK TRANS	ACTION REFERENCES AND CP APPROVED: - Reason: NA	CLIFECYCLE CCASS STATUS: Reason: NA	9 @ synuat141 synuat141 ~ X Reject Apareve CANCELLATION STATUS: Reason: NA

# **Rejection by LC Transaction Balance Input Authorise User:**

 On the Settlement Instructions List view, the LC Transaction Balance Input Authorise User is informed that the LC Transaction Balance Input Only User has rejected an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the LC column.

HKEX Synapse The Power of Connectivity.								🗂 13 April 2	023 🖲 sy	synuat143 synuat143 👻 🚶		
	Dashboard	Settlement Inst	ructions	Funds	A	Relations	hips	Market Data		Reports		
Settleme	ent Instructions											
S	ETTLEMENT	4 Pro	1 cessing Unmatched	0 Matched	1 Settled	0 Cancelled			¢	2021-06-05	enerate Report	
INS ^ TYPE		SETTLEMENT CURRENCY		≜ Ŧ TYPE ≜ 3	MODE	T ≜ ₹ GC ACCOUNT ≜ AT LC	CP CCASS	≜ ∓ SPSA ≜ ∓ TRADE ID ≜ ∓ G	C ☆ ∓ LC ☆	Ŧ CP ≜ Ŧ STATUS	4 <del>7</del>	
SI	CNE100003089 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269 🗸	~	<ul> <li>Settled</li> </ul>	DETAILS >	
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943 -	-	-	DETAILS >	
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944 -	-	-	DETAILS >	
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941 -	•	-	DETAILS >	
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942 -	-	-	DETAILS >	
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 s < > Next	B01110	80000001 000000756190940 🗸	~	- Unmatc	ned DETAILS >	

2. The LC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Reject" and must select a rejection reason.



HKEX Synapse The Power of Connectivity.		🗂 13 April 20	23 🖲 synuat143 synuat143 🕤 🏌
	tails Trade ID: 000000756190941		Reject Approve
KEY SETTLEMENT DETAILS	REJECTION CODE:		
FINANCIAL INSTRUMENT DET	Please select the code corresponding to your reason for rejection of this Settlement Instruction: Account Senior Deadline Missed (ADEA)		
ISIN	, see an a set test is see an a set		2021-06-05
Local Code		Cancel Submit	DELI
Name GIGADEVICE			DVP
			CNY
			44.06
FUND DETAILS			
ID			JMPPMJ55XXX
Name			SynComp521
			8000001
			EI)
	GC Name SynCompt	11 Counterparty - CP CCASS ID	B01110
	GC's Account at LC 1234567	89 CP's Account at CCASS	

3. Since LC Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, then the rejection is executed.

H	KEX Synapse				🗂 13 Ap	ril 2023 🕃 synuat143 synuat143 🗸 🔀
←Bac	k Settlement Instruction D	etails Trade ID: 000000075619	0941			Reject Approve
KEY S	SETTLEMENT DETAILS	SETTLEMENT STATUS	I HEALTH CHECK	TRANSACTION REFERENCES	AND LIFECYCLE	
Succe	essfully Rejected					
	SI STATUS					
	LC MAKER: × REJECTED	LC CHECKER: × REJECTED	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	Account Servicer Deadline Missed [ADEA]	Account Servicer Deadline Missed [ADEA]	NA	NA	NA	NA
	Į					

4. If the GC has not yet approved the SI/STI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SI/STI that has been rejected by a 'X' in the LC column.

This settlement instruction can be re-approved by LC Transaction Balance Input Only and Input Authorise Users again once the issues have been resolved. The re-approval process is the same as approval.

The settlement instruction can also be re-rejected by LC Transaction Balance Input Only and Input Authoriser Users again if the rejection reason needs to be updated. The re-rejection process is the same as rejection.

HI The I	KEX Syna	pse							🗂 13 Apr	il 2023 🏵	synuat14	I3 synuat143	- <b>X</b>	
	Dashboard		Settlement Ins	tructions	Funds	A	Relation	ships	Market Data			Reports		
Settle	ment Instructions													
	SETTLEMENT	S	4	1	0	1	0				Q Se	arch Gener	rate Report	
			P	rocessing Unmatche	d Matched	Settled	Cancelled				2021-	06-05		
INS TYPE		JANTITY	SETTLEMENT	A SETTLEMENT AMOUNT	A TYPE A	MODE	GC ACCOUNT A	CP CCASS	SPSA ** TRADE ID **	GC A T LC	A ▼ CP A	▼ STATUS ^ ▼	e.	
SI	CNE100003059 27	9,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	<i>、 、</i>	~	Settled	DETAILS	5
SI	CNE100003059 2,	102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943		-		DETAILS	>
SI	CNE100003059 2.	102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944		<u> </u>		DETAILS	,
SI	CNE100003059 2,	102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941	- ×	-		DETAILS	>
SI	CNE100003059 2,	102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942		<b></b>		DETAILS	,
SI	CNE100003059 2,	102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190940	~ ~	-	Unmatched	DETAILS	2

# Approval by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User):



- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
- On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. This settlement instruction can then be re-approved or re-reject by LC Transaction Balance Input Only and Input Authorise Users.

The re-approval process is the same as approval, while the re-rejection process is the same as rejection.

#### Rejection by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):



- 1. Since the LC Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SI/STI process effectively starts over.
- 2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise User on Settlement Status page.



HI The I	<b>XEX Synapse</b> Power of Connectivity.	etails Trade ID: 0000000756190	942		🗖 13 Apr	li 2023 🕃 synuat143 synuat143 🗸 🔀 Reject Approve
KEY S	ETTLEMENT DETAILS ed to Maker SI STATUS	SETTLEMENT STATUS	HEALTH CHECK	TRANSACTION REFERENCES	AND LIFECYCLE	
	LC MAKER: PENDING AMENDMENT Reason: NA	LC CHECKER: REJECTED TO MAKER Reason: NA	GC APPROVED: Reason: NA	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

 On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. This settlement instruction can then be re-approved or re-reject by LC Transaction Balance Input Only and Input Authorise Users.

The re-approval process is the same as approval, while the re-rejection process is the same as rejection.

H	IKEX S	ynapse					×/		🗖 13 Api	il 2023 🖲 s	ynuat143	synuat143 🗸 🚶
	Dash	ooard	Settlement Ins	tructions	Funds		Relations	nips	Market Data		Re	eports
Sett	lement Instr	uctions										
	SETTLE		<b>4</b> Pr	ocessing Unmatche	<b>O</b> ed Matched	1 Settled	0 Cancelled				Q Searc	O5 Cenerate Report
IN S TYF	≜ ▼ ISIN ≜ ▼ PE	QUANTITY	SETTLEMENT CURRENCY		<sup>▲</sup> ▼ TYPE <sup>▲</sup> ▼	PAYMEN1 MODE	GC ACCOUNT A T	CP CCASS ID		GC △ 🔻 LC △	▼ CP △ ▼	STATUS A 🔻
SI	CNE100	0030S9 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	× ×	~	Settled DETAILS >
SI	CNE100	0030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943		-	DETAILS >
SI	CNE100	0030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944		-	DETAILS >
SI	CNE100	003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942		-	DETAILS >
SI	CNE100	0030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190940	~ ~	-	Unmatched DETAILS >
SI	CNE100	0030S9 2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 s < > Next	B01110	80000001 000000075619094	- ×	-	DETAILS >

Rejection by LC Transaction Balance Input Only User; Approval by LC Transaction Balance Input Authorise User):



- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.

 On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. This settlement instruction can then be re-approved or re-reject by LC Transaction Balance Input Only and Input Authorise Users.

The re-approval process is the same as approval, while the re-rejection process is the same as rejection.

#### Health check findings in SI Health Check tab

#### Background

To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

#### **Workflow and Process**

For buy-side instruction, an alert message will be prompted up in the approval workflow to both <u>LC Transaction Balance Input Only User</u> and <u>LC Transaction Balance Input Authorise User</u> when failure reason(s) is/are displayed in the SI Health Check tab.

#### Recommendation

Refer to the chapter 7.6 for business validations of settlement instruction and recommendations on resolving health check findings.



#### 1. The LC Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

HKEX Synapse The Power of Connectivity.					🗂 10 July 2024 🕲 synuat783 synuat783 🕤 💢
e Back Settlement Instruction Details Trade ID: 617	71230902150034				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT ST	ATUS SI HEALTH CHECK TRA	INSACTION REFERENCES AND LIFE	ECYCLE		
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE000000040	Depository BIC	XHKCHRH100K	Trade Date	2023-09-01
Local Code	70001	Quantity	340,000	Туре	RECE
Name	PING AN BANK CO., LTD. (A #000001)	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	340,000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
-					
	55202406	AM BIC	SYNCOMP173X	LCBIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	Syncomp1/3	LC Name	SynComp112
		Investor ID	300013	SPSA	0000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Seller, 300 Seller Lane, NY, NY 66666
		GC Name	Syncompase	Counterparty - CF CCASS ID	801130
		GC & Account at LC	76202406	CP 8 Account at CCASS	
		EP & Account at CP			

2. If a settlement instruction fails the health check, an alert message will be prompted up "Please go to "SI HEALTH CHECK". There is a health check finding.".

HKEX Synapse The Power of Connectivity.	Trade ID: 61712309021	150034		🗖 10 July 2024 @ synuat783 synuat783 ~ 🗴		
KEY SETTLEMENT DETAILS SE	TTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCL	.E		
SI HEALTH CHEC	к:					
CHECK		STAT	US	SUBMITTED VALUE	COUNTERPARTY VALUE	
ISIN		Healt	h Check Passed	-	-	
Settlement Date		Healt	h Check Passed	-		
Counterparty ID						
A EP's account a	t CP	EP's	account at CP is empty	-	-	

 The LC Transaction Balance Input Only User could either click **Continue** to confirm the approval or **Abort** to stop the approval process and check the exception found in the tab "SI Health Check". The LC Transaction Balance Input Only User can restart the approval process after identifying the exception category.

H	HKEX Synapse The Power of Connectivity:								
←Baci	Settlement Instruction Details Trade ID: 61	71230902150034				Reject Approve			
KEY S	SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANS	ACTION REFERENCES AND LIFECYCLE						
	SI STATUS								
	LC MAKER: -	LC CHECKER:	GC APPROVED: ~ APPROVED	CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS:			
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:			
	NA	NA	NA	NA	NA	NA			
			Alert Message						
			Please go to "SI HEALTH CH check finding.     Click Abort to stop the approv Continue to confirm the approv	ECK". There is a health val process, or Click val.					
				Continue Abort					

4. The LC Transaction Balance Input Only User clicked **Continue** to confirm the approval and the system message shows "Successfully Approved".

	,		0		,	11		
<b>H</b> The	KEX Synapse							🛱 10 July 2024 🕲 synuat783 synuat783 🕤 💢
	Settlement Instruction Details	s Trade ID: 61712309	002150034					Reject Approve
KEY S	ETTLEMENT DETAILS	ETTLEMENT STATU	SI HEALTH CHECK	TRANSACTION REFER	ENCES AND LIFECYCLE			
© Succe	ssfully Approved							
	SI STATUS							
	LC MAKER: ~ APPROVED	LC CH	ECKER: -	GC APPROVED: >	APPROVED	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reaso	n:	Reason:		Reason:	Reason:	Reason:
	NA	NA		NA		NA	NA	NA

5. The same approval process will be applied to the LC Transaction Balance Input Authorise User.

#### 7.3.2 Sell Side

# 7.3.2.1 Exchange Participant (EP)

# EPs have view only rights to SI/STI processing.

ine Po	wer of Connectivity.					All I						Organization: SynComp531	
	Dashboard	S	ettlement Inst	ructions	Accounts		Relationships	;	Market Data		A	CTING AS:	
Settlem	ent Instructions										e	Exchange Participant	
		-									٩	Function 1 : SYN User	
S	STRUCTION	r s	6	0	0	1 (	)					Role Type: Input-Only	e Repor
		•										Eunction 2 :	
			Pro	ocessing Unmatch	ned Matched	Settled C	ancelled					Transaction-Balances	
			Pro	ocessing Unmatcl	ned Matched	Settled C	ancelled					Transaction-Balances Role Type: Input-Only	
INS TYPE	<sup>≜</sup> <del>=</del> ISIN ≜ <del>=</del> C	QUANTITY A =	Pro SETTLEMENT CURRENCY	▲ ᆕ SETTLEMEN AMOUNT	IT A TYPE	A T PAYMEN MODE	IT A FEP'S ACCOUNT AT CP	≜ ∓ AM BIC ≜ ∓		CP≜∓ (	د ز	Transaction-Balances Role Type: Input-Only Function 3 :	
INS TYPE SI	×∓ISIN ≜∓ Q <u>CNE1000030S9</u> 2	QUANTITY A =	SETTLEMENT CURRENCY CNY	A = SETTLEMEN AMOUNT 4,085,977.07	IT AFTYPE	A F PAYMEN MODE	IT A = EP'S ACCOUNT AT CP 999991	▲ 〒 AM BIC ▲ 〒 DTCCMEORXX3	TRADE ID ▲ 〒 X 000000056341153	CP ^ ∓ 0	с <sup>с</sup> ц	Transaction-Balances Role Type: Input-Only Function 3 : Data Manager	ETAILS
INS TYPE SI SI	<sup>▲</sup> ∓ ISIN <sup>▲</sup> ∓ Q <u>CNE100003059</u> 2 <u>CNE100003059</u> 2	QUANTITY A =	Pro SETTLEMENT CURRENCY CNY CNY		IT AFTYPE RECE	A F PAYMEN MODE DVP DVP	IT • FEP'S ACCOUNT AT CP 999991 900546	A T AM BIC A T DTCCMEORXX) DTCCMEORXX	TRADE ID △ = X 000000056341153 X 5000916261292796	CP ≜ ₹ 0	ю ( - /	Transaction-Balances Role Type: Input-Only Function 3 : Data Manager Role Type: Input-Only	ETAILS
INS TYPE SI SI SI		2UANTITY A = 102 179,600	Pro SETTLEMENT CURRENCY CNY CNY CNY		IT AFTYPE RECE RECE RECE	A F PAYMEN MODE DVP DVP DVP	ancelled IT * EP'S ACCOUNT AT CP 999991 900546 999991	A T AM BIC A T DTCCMEORXX DTCCMEORXX DTCCMEORXX	TRADE ID A = X 000000056341153 X 5000916261292796 X 000000056341152	CP ≜ ₹ 0	С ( ч	Transaction-Balances       Role Type: Input-Only       Function 3 : Data Manager       Imput-Only	ETAILS ETAILS ETAILS
INS TYPE SI SI SI SI		2UANTITY 4 = ,102 ,102 ,102 ,102	Pro SETTLEMENT CURRENCY CNY CNY CNY CNY		IT AFTYPE RECE RECE RECE	Exercised C A ∓ PAYMEN MODE DVP DVP DVP DVP DVP	ancelled T & EP'S ACCOUNT AT CP 999991 900546 999991 999991	A T AM BIC A T DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX	TRADE ID A = X 000000056341153 X 5000916261292796 X 000000056341152 X 000000056341154		iC / 4	Transaction-Balances Role Type: Input-Only Function 3 : Data Manager Role Type: Input-Only U Logout	ETAILS ETAILS ETAILS ETAILS
INS TYPE SI SI SI SI SI SI	CNE100003058 2 CNE100003058 2 CNE100003058 2 CNE100003058 2 CNE100003058 2 CNE100003058 2	2UANTITY A = ,102 ,79,600 ,102 ,102 2,000	Pro SETTLEMENT CURRENCY CNY CNY CNY CNY CNY		IT A TYPE RECE RECE RECE RECE DELI	A PAYMEN MODE DVP DVP DVP DVP DVP DVP	ancellea IT ▲ ♥ EP'S ACCOUNT AT CP 999991 900546 999991 999991 900546	A T AM BIC A T DTCCMEORXX) DTCCMEORXX0 DTCCMEORXX0 DTCCMEORXX0 DTCCMEORXX0	TRADE ID A = X 000000056341153 X 5000916261292796 X 000000056341152 X 000000056341154 X 5000916261222796		iC / 4	Transaction-Balances ○ Role Type: Input-Only Function 3: Data Manager ○ Role Type: Input-Only ULogout □	ETAILS ETAILS ETAILS ETAILS DETAILS
INS TYPE SI SI SI SI SI SI	CNE100003058 2 CNE100003058 2 CNE100003058 2 CNE100003058 2 CNE100003058 2 CNE100003058 2 CNE100003058 2	2UANTITY A 7 ,102 ,79,600 ,102 ,102 ,2,000 ,102	Pro SETTLEMENT CURRENCY CNY CNY CNY CNY CNY CNY		IT AFTYPE RECE RECE RECE RECE RECE DELI RECE	Settled C MODE DVP DVP DVP DVP DVP DVP DVP	ancelled IT ▲ ♥ EP'S ACCOUNT AT CP 999991 900546 999991 900546 999991	A T AM BIC A T DTCCMEORXX) DTCCMEORXX0 DTCCMEORXX0 DTCCMEORXX0 DTCCMEORXX0 DTCCMEORXX0	TRADE ID * = X 000000056341153 X 5000916261292796 X 000000056341152 X 000000056341152 X 000000056341150 X 000000056341150		iC / 4	Transaction-Balances     Role Type: Input-Only     Data Manager     Role Type: Input-Only     ULogout     ULogout	ETAILS ETAILS ETAILS ETAILS DETAILS DETAILS

HKEX Synaps	e			🗖 13 April 20:	23 🛞 synuat211 synuat211 \vee 🔀
← Back Settlement Instruction I	Details Trade ID: 00000000563	341154			
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND	DLIFECYCLE	
FINANCIAL INSTRUMENT DE	TAILS	SETTLEMENT DETAILS	;	TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Туре	RECE
Name GIGADEVIC	E SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indica	tor False		
PARTICIPANT DETAILS					
EP BIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	999991				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				
CP's Account at CCASS	11				

# 7.3.2.2 Clearing Participant (CP)

#### Approval by CP Transaction Balance Input Only User; Approval by CP Transaction Balance Input Authorise User:



#### Approval by CP Transaction Balance Input Only User:

- 1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HK The P		Ä							🗂 13 April 2	2023 🕃 syr	nuat281 synuat28	1 ~ 🗙
	Dashboard	Settlement In	structions	Acc	ounts		Relationships		Market Data		Reports	
Settlen	nent Instructions											
:	SETTLEMENT		6 0	0	1	0				¢	Search Gen	erate Report
		F	Processing Unmate	hed Mate	ched Settled	Cancelled					2021-06-05	8
INS TYPE		SETTLEMENT CURRENCY	A SETTLEMENT A AMOUNT	▼ TYPE △	PAYMENT A MODE	EP'S ACCOUNT AT CP	A CP'S ACCOUNTAT CCASS	CCASS	TRADE ID A T	P ^ * GC ^	LC A T STATUS	*
SI	CNE100003059 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796 -		1771	DETAILS >
SI	CNE100003059 279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796 -	· ·	<ul> <li>Settled</li> </ul>	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152 -			DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153 -		-	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341154 -		-	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150 -	· ~	~	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341151 -	-	×	DETAILS >
					Previo	us < > Nex						

3. The CP Transaction Balance Input Only User views the details of an SI/STI and clicks "Approve".

HKEX Synapse The Power of Connectivity.				🗖 13 April 2023 🕃	synuat281 synuat281 🕤 🔀
←Back Settlement Instruction D	etails Trade ID: 0000000563	41150			Reject Approve
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TRANSACT	TION REFERENCES AND	DLIFECYCLE	
FINANCIAL INSTRUMENT DET	AILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	ХНКСНКН1ХХХ	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Туре	RECE
Name GIGADEVICE	SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP BIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	999991				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				
CP's Account at CCASS	11				

HKEX Syr The Power of Connect	napse			🛱 13 April 2023	3 🖲 synuat281 synuat281 🕤 🏹
←Back Settlement Ins	struction Details Trade ID: 0000000	56341150			Reject Approve
KEY SETTLEMENT D	ETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANS	SACTION REFERENCES AND	D LIFECYCLE	
SI STATUS					
CP MAKER: Reason: NA	CP CHECKER: Reason: NA	GC APPROVED: ✓ APPROVED Reason: NA	LC APPROVED: ~ APPROVED Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
HKEX Syl	napse			🗖 13 April 2023	1 @ symuat281 symuat281 🗸 🗙
←Back Settlement In: KEY SETTLEMENT D	ETAILS SETTLEMENT STATUS	S6341150 SI HEALTH CHECK TRANS	ACTION REFERENCES AND	) LIFECYCLE	Reject Approve
Successfully Approved					
SI STATUS					
CP MAKER: ✓ A Reason: NA	PPROVED CP CHECKER: - Reason: NA	GC APPROVED: ✓ APPROVED Reason: NA	LC APPROVED: ~ APPROVED Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

#### Approval by CP Transaction Balance Input Authorise User:

 On the Settlement Instructions List view, The CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has approved an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

HK The Po	EX Synaps	e							🗖 13 Apri	I 2023 🕃	synuat28	33 synuat283	~ 🗙
	Dashboard	Settlement In	structions	Acc	ounts		Relationships		Market Data			Reports	
Settlem	nent Instructions												
S		(	6 0	0	1	0					Q Se	arch Gene	erate Report
		P	rocessing Unmatc	hed Mato	ched Settled	Cancelled					2021-	06-05	
		Y SETTLEMENT CURRENCY	A T SETTLEMENT A AMOUNT	₹ TYPE △		EP'S ACCOUNT AT CP	A T CP'S AT A T ACCOUNT AT CCASS	CCASS	TRADE ID	CP ≜ ∓ G	: ≜ ∓ LC ≜	▼ STATUS Å	Ŧ
SI	CNE100003059 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796		-		DETAILS >
SI	CNE100003059 279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	~ ~	~	Settled	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152		-		DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153		-		DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341154		14		DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150	• ✓	~		DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151		×		DETAILS >
					Previo	us < > Next							

2. The CP Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Approve".

CBack Settleme	nt Instruction Details Trade ID: 0000000	56341150			Reject Approve
KEY SETTLEME	NT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSAC	TION REFERENCES AND	DLIFECYCLE	
FINANCIAL INST	RUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030	59 Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	939	86 Quantity	2,102	Туре	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) IN	IC Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DE	TAILS				
EP BIC	DTCCSELLX	X			
EP Name	SynComp5	31			
EP's Account at CP	9999	91			
CP BIC	DTCCDEAGX	x			
CP Name	SynComp5	41			
CP's Account at CC	ASS	11			

H	KEX Synapse				🗖 13 April 202	3 🖲 synuat283 synuat283 🗸 💢
	k Settlement Instruction De	tails Trade ID: 000000005634	11150			Reject Approve
KEY	SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
	SI STATUS					
	CP MAKER: ✓ APPROVED	CP CHECKER: -	GC APPROVED: ~ APPROVED	LC APPROVED: V APPROVED	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA	NA

HI The I	KEX Synapse				🗖 13 April 2023	© synuat283 synuat283 -> 🔀
<ul> <li>← Back</li> </ul>	Settlement Instruction Detai	is Trade ID: 00000000563411	50			Reject Approve
KEY S	ETTLEMENT DETAILS	SETTLEMENT STATUS	HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
Succe	ssfully Approved					
	SI STATUS					
	CP MAKER: V APPROVED	CP CHECKER: V APPROVED	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA	NA

Rejection by CP Transaction Balance Input Only User; Rejection by CP Transaction Balance Input Authorise User (same rejection reason(s) between Input Only User and Input Authorise User):



**Rejection by CP Transaction Balance Input Only User:** 

- 1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HKEX Synapse The Power of Connectivity.			🛱 13 April 2	023
←Back Settlement Instruction Details Trade ID: 00000000	6341154			Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AN	D LIFECYCLE	
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	3	TRADE DETAILS	
ISIN CNE1000030	9 Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code 939	6 Quantity	2,102	Туре	RECE
Name GIGADEVICE SEMICONDUCTOR(BEIJING) IN	C Settlement Date	2021-06-06	Payment	DVP
	Settlement Currency	CNY	Deal Price Currency	CNY
	Settlement Amount	4,065,977.07	Deal Price	44.06
	Effective Settlement Date		Currency To Buy	
	Settled Currency		Currency To Sell	USD
	Settled Amount		FX Cancellation	
	Real-Time Settlement Indica	ator False		
PARTICIPANT DETAILS				
EP BIC DTCCSELLX	x			
EP Name SynComp5	1			
EP's Account at CP 9999	1			
CP BIC DTCCDEAGX	x			
CP Name SynComp5	1			
CP's Account at CCASS	1			

3. The CP Transaction Balance Input Only User views the details of an SI/STI and clicks "Reject" and must select a rejection reason.

HKEX Sy The Power of Conne	ynapse				🖻 13 April 2023	🕃 synuat281 synuat281 🕤 💢
		ils Trade ID: 000000005634115				Reject Approve
KEY SETTLEMENT		REJECTION CODE:				
FINANCIAL INSTR		Please select the code correspondi	ng to your reason for rejection of	this Settlement Instruction:		
ISIN		Ivalid Rule [VALR]			Consel Submit	2021-06-05
Local Code Name	GIGADEVICE				Cancel Submit	RECE
						CNY
						44.06
						USD
	AUS					
	ALLO					
EP BIC						
EP's Account at CP						
CP BIC						
CP Name CP's Account at CCAS	S	SynComp541 11				
HKEX S	ynapse				🗂 13 April 2023	🕲 synuat281 synuat281 🔻 🚶
	oo ar ny i					
+Back Settlement	t Instruction Deta	ails Trade ID: 00000000563411	54			Reject Approve
KEY SETTLEMENT	T DETAILS	SETTLEMENT STATUS SI	HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
Successfully Rejected						
SI STATUS						
CP MAKER:	× REJECTED	CP CHECKER: -	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:		Reason:	Reason:	Reason:	Reason:	Reason:
Invalid Rule [	[VALR]	NA	NA	NA	NA	NA

# **Rejection by CP Transaction Balance Input Authorise User:**

 On the Settlement Instructions List view, the CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has rejected an SI/STI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

HK The Po	EX Synapse							🗖 13 April 2	:023 🕃 syi	nuat283 synuat2	83 ~ 💢
	Dashboard	Settlement Ins	structions	Accounts		Relationships		Market Data		Reports	
Settlem	ent Instructions										
SETTLEMENT INSTRUCTIONS 5 1 0 1 0 Processing Unmatched Matched Settled Cancelled									nerate Report		
INS ≜ TYPE		SETTLEMENT CURRENCY	A 7 SETTLEMENT A AMOUNT	× ∓ TYPE × ∓ PAY MOI	MENT A FEP'S DE ACCOUNT AT CP	A ₹ CP'S ACCOUNTAT CCASS	LC ASS	TRADE ID A T C	P≜≑GC≜	LC A 7 STATUS	4 <del>7</del>
SI	CNE1000030S9 92,000	CNY	4,065,977.07	DELI DVP	900546	11	C00016	5000916261222796 -	-	-	DETAILS >
SI	CNE1000030S9 279,600	CNY	4,065,977.07	RECE DVP	900546	11	C00016	5000916261292796 🗸	~	<ul> <li>Settled</li> </ul>	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE DVP	999991	11	C00016	000000056341152 -		-	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE DVP	999991	11	C00016	000000056341153 -	-	-	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE DVP	999991	11	C00016	000000056341154 •	-	-	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE DVP	999991	11	C00016	000000056341151 -	-	×	DETAILS >
SI	CNE100003059 2,102	CNY	4,085,977.07	RECE DVP	Previous < > Nex	11 kt	C00016	000000056341150 ✓	~	✓ Unmatch	ed DETAILS >

2. The CP Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Reject" and must select a rejection reason.

KEY SETTLEMENT DETAILS       Rejection code:       Image: Set Status       Plaas select the code corresponding to your reason for rejection of this Settlement Instruction:       Image: Set Status       CANCELLATION STATUS:         Reason::       Image: Im	HKEX Synapse The Power of Connectivity.	talis Trade ID: 000000056341154	🗂 13 April 202	3 ③ synuat283 synuat283 🕤 🂢 Reject Approve
	KEY SETTLEMENT DETAILS	REJECTION CODE: Please select the code corresponding to your reason for rejection of this Settlement Instruction: Invalid Rule [VALR]	Cancel Submit	CANCELLATION STATUS: Reason: NA

 The CP Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This settlement instruction can be reapproved by CP Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved.

The re-approval process is the same as approval, while the settlement instruction can also be re-rejected by CP Transaction Balance Input Only and Input Authoriser Users again if the rejection reason is needed to update. The re-rejection process is the same as rejection.

H	KEX Synapse Power of Connectivity.				🗖 13 Apri	l 2023 🕲 synuat283 synuat283 🗸 💢
	Settlement Instruction De	tails Trade ID: 0000000056341	154			Reject Approve
KEY S	ETTLEMENT DETAILS	SETTLEMENT STATUS SI	HEALTH CHECK	TRANSACTION REFERENCES A	AND LIFECYCLE	
Succe	ssfully Rejected					
	SI STATUS					
	CP MAKER: × REJECTED Reason: Invalid Rule [VALR]	CP CHECKER: X REJECTED Reason: Invalid Rule [VALR]	GC APPROVED: - Reason: NA	LC APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

# Approval by CP Transaction Balance Input Only User; Rejection by CP Transaction Balance Input Authorise User



 Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over. 2. CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

HKEX Synapse				🖽 13 Ap	ril 2023 🖲 synuat283 synuat283 👻 🔰
Back Settlement Instruction D	etails Trade ID: 000000005634	1152	Jule		Reject Appro
ejected to Maker	SETTLEMENT STATUS	STREALTH CHECK	TRANSACTION REFERENCES	SANDLIFECTOLE	
SI STATUS					
CP MAKER: PENDING AMENDMENT Reason: NA	CP CHECKER: REJECTED TO MAKER Reason: NA	GC APPROVED: Reason: NA	LC APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
		1	I	I	1

3. On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User.

HK The P	EX Synapse								🖾 13 April	2023 🖲 sy	nuat283 s	synuat283 v	X
	Dashboard	Settlement In	structions	Acco	unts		Relationships		Market Data		Re	eports	
Settlen	nent Instructions												
:	SETTLEMENT	;	5 1	0	1	0					Q Searc	ch Generat	e Report
		F	Processing Unmat	ched Matcl	ed Settled	Cancelled	1				2021-06-	-05	
TYPE	QUANTITY A	CURRENCY	A SETTLEMENT AMOUNT	A * TYPE A *	MODE	ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS	TRADE ID	P * * GC *	* LC * * :	STATUS A ¥	
SI	CNE100003089 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796		-	D	ETAILS >
SI	CNE100003059 279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	/ /	1 :	Settled D	
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152		-	D	ETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153		-	D	
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151		×	D	ETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150	1 1	× 1	Unmatched D	
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	-11	C00016	000000056341154	< -	-	D	ETAILS >
					Previo	us < > Nei	xt						

# Rejection by CP Transaction Balance Input Only User;

Rejection by CP Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):



- 1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SI/STI process effectively starts over.
- 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

H	KEX Synapse Power of Connectivity.				🗖 13 Ap	ril 2023 🖲 synuat283 synuat283 🗁 💢
←Back	Settlement Instruction De	SETTLEMENT STATUS	II HEALTH CHECK	TRANSACTION REFERENCE	S AND LIFECYCLE	Reject Approve
8 Reject	ed to Maker SI STATUS CP MAKER: PENDING AMENDMENT Reason: NA	CP CHECKER: REJECTED TO MAKER Reason: NA	GC APPROVED: Reason: NA	LC APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

3. On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the settlement instruction. The re-approval process is the same with the approval, while the re-rejection process is the same with the rejection.

HK The P							I Contraction of the second se		🗂 13 April	2023 🕃 sy	/nuat283	synuat283	- <b>X</b>
	Dashboard	Settlement Ins	tructions	Aco	ounts	F	Relationships		Market Data		F	eports	
Settlen	ment Instructions												
:	SETTLEMENT	5	5 1	0	1	0					Q Sea	rch Gener	rate Report
INS 4			SETTI EMENT	ched Mate	PAYMENT	EP'S	AT CP'S A	*IC 4		PAT GCA	2021-0	8-05	
TYPE		CURRENCY	AMOUNT		MODE	ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS			20		
SI	CNE1000030S9 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796		-		DETAILS >
SI	CNE100003059 279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	/ /	~	Settled	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152	100	-		DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153		-		DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151		×		DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150	1 1	~	Unmatched	DETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341154	< -	-		DETAILS >
					Previo	us < > Next							

Rejection by CP Transaction Balance Input Only User; Approval by CP Transaction Balance Input Authorise User):



 Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over. 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

HKEX Synapse The Power of Connectivity.				🗖 13 Ap	ril 2023 🏵 synuat283 synuat283 🗸 💢
←Back Settlement Instruction D	etails Trade ID: 000000056341	152			Reject Approve
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	HEALTH CHECK	TRANSACTION REFERENCES A	ND LIFECYCLE	
Rejected to Maker     SI STATUS     CP MAKER: PENDING     AMKENMENT     Reason:     NA	CP CHECKER: REJECTED TO MAKER Reason: NA	GC APPROVED: - Reason: NA	LC APPROVED: - Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

3. On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the settlement instruction. The re-approval process is the same with the approval, while the re-rejection process is the same with the rejection.

HK The P							1		🗎 13 April 2	2023 🕃 s	ynuat283	synuat283  ×	X
	Dashboard	Settlement Inst	ructions	Acco	ounts	F	Relationships		Market Data		R	eports	
Settlen	nent Instructions												
:	SETTLEMENT	5	1	0	1	0					Q Sear	ch Generat	e Report
		Pr	ocessing Unmatcl	hed Matc	hed Settled	Cancelled					2021-06	-05	8
INS TYPE	UQUANTITY A	SETTLEMENT	AMOUNT	* TYPE 4 *	PAYMENT A	ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS	* TRADE ID A * C	P A 7 GC A	▼ LC ^ Ŧ	STATUS A 🔻	
SI	CNE1000030S9 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796 -	- 12	-	D	
SI	CNE100003059 279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796 ~	· ~	~	Settled D	
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341152 -	2 <u>1</u>	-	D	ETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341153 -	C	-	D	ETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341151 -	- <del>-</del>	×	D	ETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	000000056341150 -	· ·	~	Unmatched D	ETAILS >
SI	CNE100003059 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341154 ×	-	-	D	ETAILS >
					Previo	us < > Next							

# 7.4 Special STI (SSTI) Approvals and Rejections

Special STIs (SSTIs) can be approved or rejected on the Settlement Instruction Details view. Only Users belonging to the same Participant Entity can see the internal approval status of Transaction Balance Input Only User and Transaction Balance Input Authorise User. Other Participants involved in the transaction can only see entity level approvals. E.g. Only GC can see its internal approval status (e.g. GC maker have already approved), but the other entity (e.g. AM / LC) cannot see such detail until both GC maker and checker have approved.

AM / EP are obliged to ensure their reference data setup in DTCC is correct and that any transaction is not "matched" in DTCC side, i.e. remains single sided and DTCC only send one SN for such transaction.

GCs, LCs and CPs are the only participants required to approve or reject an SSTI. AMs and EPs can only view the Settlement Instructions details.

Approvals or rejections of SSTIs by the GC, LC, or CP do not need to be done in a specific order. For example, an SSTI does not require a specific buy side participant to approve or reject before the other.

#### 7.4.1 Buy Side

# 7.4.1.1 Asset Managers (AM)

AMs have view only rights to SSTI processing.

HKEX Synapse The Power of Connectivity. • Rack Settlement Instruction Details Trade ID: 6171230	9721133010			a a	🗖 10 July 2024 @ symplike1759 symplike1759 ~ 🏋
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	S SI HEALTH CHECK TRANSACTION	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	3HKCHIN13OX	Trade Date	2024-07-10
Local Code	93906	Quantity	33,010	Туре	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNV
		Settlement Amount	3,301,000.10	Deal Price	44.06
		Effective Settlement Date	2024-07-10	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	3,301,000.10	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	881759	AM BIC	SYNCOMP294X	LC BIC	SYNCOMP105X
Name	Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n,Comp.(105).
Fund Account at GC	541751	Investor ID	200276	SPSA	80000026
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
		GC Name	S-y n8Comp.(362).	Counterparty - CP CCASS ID	C00016
				CP's Account at CCASS	1

# 7.4.1.2 Global Custodian (GC)

SSTI processing for GCs is the same process as for SI/STIs.

# 7.4.1.3 Local Custodian (LC)

Approval by LC Transaction Balance Input Only User; Approval by LC Transaction Balance Input Authorise User:



# Approval by LC Transaction Balance Input Only User:

- 1. The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HKEX The Power of	HKEX Synapse The Flower of Connectivity.				Q								O		0 12A	pril 2023 (	₿ synuat141 syn	vat141 ~ 💢	
	Dashboard		Settlement Instr					Funds		Relationships		M	arket Data				Reports		
Settlement In	structions																		Π
SETTLEM		IONS	14	5	0	2	0										Q Search	Generate Rep	ort
				Harmanaka			Conner												
			Processing	Unmatched	Matcheo	i semeu	Cancen	60									2021-05	05	
																			-
INS TYPE A T	CNE1000030.59	QUANTITY * *	SETTLEMENT CURRENCY * *	5	ETTLEMEN 085 977 07	T AMOUN	- <del>-</del>	TYPE	PAYMENT MODE **	GC ACCOUNT AT LC **	CP CCASS ID **	SPSA * *	TRADE ID * *	GC * *	LCAT	CPAT	STATUS - *	DETAILS >	
3311	CNE100003039	22.312	CNY	-	005 977 07			DELL	DVP DVP	762234	C00016	80101001	2231094155771021	-	-	-		DETAILS /	
SSTI	CNE100003059	2.102	GNY		065 977 07			DELI	DVP	444111	C00015	80101001	000000075619082	-	-	-		DETAILS >	
SSTI	CNE100003059	2.102	CNY	4	065 977 07			DELL	DVP	444111	C00016	80101031	000000075619083	-	-	-		DETAILS >	
SI	CNE100003059	2.231	CNY	4	065.977.07			DEU	DVP	762231	801110	80101031	2231994155771021		-	-		DETAILS >	
SSTI	CNE1000030.59	2,102	CNY	4	065.977.07			DELI	DVP	444111	C00016	80101031	000000075619084	-	-	-		DETAILS >	
SSTI	CNE1000030 59	2,102	CNY	4	.065,977.07			DELI	DVP	444111	C00016	80101031	000000075619085	-	-	-		DETAILS >	
51	CNE100003059	29,625	CNY	4	,065,977.07			DELI	DVP	762231	B01110	80101031	2119594155771021	-	-	-		DETAILS >	
SSTI	CNE100003059	92,200	CNY	4	065,977.07			DELI	DVP	762734	C00016	80101031	2034100011076672	1	1	-	Settled	DETAILS >	
SSTI	CNE100003059	92,200	CNY	4	065,977.07			DELI	DVP	762734	C00016	80101031	2034200011076672	~	1	-	Settled	DETAILS >	
STI	CNE100003059	29,627	CNY	4	,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS	
STI	CNE1000030.59	29,627	CNY	4	,065,977.07			DELI	DVP	762231	C00016	80101031	2962094155771021	-	-	-		DETAILS >	
SI	CNE1000030 59	2,102	CNY	4	,065,977.07			DELI	DVP	762456	801110	80101031	0000000756190940	-	-	-		DETAILS >	
31	CNE100003059	29,622	CNY	4	,065,977.07			DELI	DVP	762231	B01110	80101031	2119994155771021	~	~	-	Unmatched	DETAILS >	
SI	CNE100003059	29,626	CNY	4	065,977.07			DELI	DVP	762231	B01110	80101031	2952994155771021	1	1	-	Unmatched	DETAILS >	
51	CNE100003059	29,623	CNY	4	,065,977.07			DELI	OVP	762231	B01110	80101031	2119594155771021	~	~	-	Unmatched	DETAILS >	
SI	CNE100003059	29,621	CNY	4	,065,977.07			DELI	DVP	762231	B01110	80101031	2119994155771021	×	1	-	Unmatched	DETAILS >	
51	CNE1000030.59	29,624	CINY	4	,065,977.07			DELI	DVP	762231	B01110	80101031	2119994155771021	~	~	-	Unmalched	DETAILS >	
SI	CNE100003059	92,200	CNY	4	,005,977.07			RECE	DVP	764743	801110	80101001	7438768034052118	~	-	-		DETAILS >	
sn	CNE100003059	22,312	CNY	4	,065,977.07			DELI	DVP	762231	C00016	80101031	2231094155771021	-	-	-		DETAILS >	
SI	CNE100003059	2,231	CNY	4	065,977.07			DELI	OVP	762231	B01110	80101031	2231994155771021	-	-	-		DETAILS >	

- 3. The LC Transaction Balance Input Only User views the details of an SSTI and to provide the following details:
  - a. Settled Amount (optional)
  - b. CP's Account at CCASS (mandatory)

HKEX Synapse The Power of Connectivity.					🗂 10 July 2024 @ symplike729 symplike729 🕤 🎽
Back Settlement Instruction Details Trade ID: 61712307	21133010				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTIO	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	30HKCH80H300X	Trade Date	2024-07-10
Local Code	93906	Quantity	33,010	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BELIING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	3301000.1 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
P	531759	AM FIC	SVINCOMP294X	LC BIC	SVNCOMP105X
Name	Edelby China Fund 1759	AM Name	Sur n Come (294)	LC Name	S.v.e Cette (195)
	,	Investor ID	200276	SPSA	8000026
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
		GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	C00016
		GC's Account at LC	761759	CP's Account at CCASS	
		EP's Account at CP	123456		

4. After adding those details, the LC Transaction Balance Input Only User can approve the SSTI by clicking "Approve".

HKEX The Power of C	Synapse				•	🗄 10 July 2024 @ symplifie729 symplifie729 v 🇙
+ Back Settlen	nent Instruction Details Trade ID: 61712	30721133010				Reject Account
KEY SETTLEM	IENT DETAILS SETTLEMENT STAT	US SI HEALTH CHECK TRANSACTIO	ON REFERENCES AND LIFECYCLE			
FINANCIAL IN	STRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN		CNE 100003059	Depository BIC	304KCH8041X0X	Trade Date	2024-07-10
Local Code		93906	Quantity	33,010	Type	RECE
Name		GIGADEVICE SEMICONDUCTOR(BEUING) INC	Settlement Date	2024-07-10	Payment	DVP
			Settlement Currency	CNY	Deal Price Currency	ONY
			Settlement Amount	3,301,000.10	Deal Price	44.05
			Effective Settlement Date		Currency To Buy	
			Settled Currency	CNV	Currency To Sell	
			Settled Amount	3301000.1 HKD	FX Cancellation	
			Real-Time Settlement Indicator	False		
FUND DETAILS	8		PARTICIPANT DETAILS			
ID		001759	AM DIC	SYNCOMP294X	LC BIC	SYNCOMP105X
Name		Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n,Comp.(105).
			Investor ID	200276	SPSA	80000026
			GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
			GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	C00016
			GC's Account at LC	761759	CP's Account at CCASS	
			EP's Account at CP	123456		
HKEX The Power of C + Dack Settlem	Synapse onnectivity sent Instruction Details Trade ID: 00000	90075619801			•	🛱 12 April 2023 @ synuat141 synuat141 🗸 🗙
KEY SETTLEME	ENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
<ul> <li>Successfully Appro</li> </ul>	oved					
SI STATU	IS					
LC MAKE	R: V APPROVED	LC CHECKER: -	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:		Reason:	Reason:	Reason:	Reason:	Reason:
		24		-		NA.
1 NA		1.00	1 44	1 80	NA	

# Approval by LC Transaction Balance Input Authorise User:

1. The LC Transaction Balance Input Authorise User will be notified that there is an SSTI pending their approval by a changed icon from '—' to 'O' in the LC column for a specific SSTI on the Settlement Instructions List view.

The Power of Co	Synapse															April 2023	④ synuat143 s;	muat143 ~ 💢
	Dashboard		Settlement I	instructions				Funds		Relationships		M	arket Data				Reports	
Settlement Inst	tructions																	
SETTLEMEN	NTINSTRUCT	IONS	11	8	0	6	6										Q Search	Generate Report
			Proces	sing Unma	tched Matche	d Settled	Cancelled										2021-06	-05
INS TYPE ^ *	ISIN ^ *	QUANTITY * *	SETTLEMENT CURRENC	× • *	SETTLEMEN	T AMOUNT		TYPE * *	PAYMENT MODE **	GC ACCOUNT AT LC 1	CP CCASS ID ^ *	SPSA ^ *	TRADE ID * *	GC ^ *	LC ^ *	CP 1 T	STATUS * *	
SSTI	CNE100003059	2,102	ONY		4,065,977.07			DELI	OVP	444111	C00016	80000001	000000075619081	-		-		DETAILS
STI	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2231094155771021	-	-	-		DETAILS >
SSTI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619082	-	-	-		DETAILS >
SSTI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619083	-	-	-		DETAILS
51	CNE100003059	2,231	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2231994155771021	-	-	-		DETAILS
SSTI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619084	-	-	-		DETAILS
SSTI	CNE100003059	2,102	CNY		4,065,977.07			DELI	OVP	444111	C00016	80000001	000000075619085	-	-	-		DETAILS
51	CNE100003059	29,625	CNY		4,085,977.07			DELI	DVP	762231	B01110	80030301	2119994155771021	-	-	-		DETAILS >
SSTI	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034100011076672	~	1	-	Settled	DETAILS >
STI	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS >
SSTI	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034200011076672	~	~	-	Settled	DETAILS
STI	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80030301	2962094155771021	-	-	-		DETAILS
SI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	762456	B01110	80000001	000000756150540	-	-	-		DETAILS
51	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	80030301	2115034155771021	~	~	-	Unmatched	DETAILS
51	CNE100003059	29,626	ONY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	~	1	-	Unmatched	DETAILS
51	CNE100003059	29,623	CNY		4,065,977.07			DELI	OVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS >
51	CNE100003059	29,621	CNY		4,005,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS >
\$1	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS
SI	CNE100003059	92,200	CNY		4,065,977.07			RECE	DVP	764743	B01110	80000001	7438768034052118	1	~	-	Unmatched	DETAILS
51	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2115934155771021	~	~	-	Cancelled	DETAILS
SI	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	E01110	80000001	2119994155771021	1	1	-	Cancelled	DETAILS
51	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS >
51	CNE100003059	29,623	ONY		4,085,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	1	1	-	Cancelled	DETAILS
51	CNE1000030.59	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	~	1	~	Settled	DETAILS
sn	CNE100003039	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	1	~	~	Cancelled	DETAILS
STI	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	~	~	~	Cancelled	DETAILS
STI	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2231094155771021	1	~	1	Settled	DETAILS

2. The LC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Approve".

HKEX Synapse The Power of Connectivity.		🖻 10 July 2024 @ symplike731 symplike731 - 💢
Back Settlement Instruction Details Trade ID: 61/1230/21133010		Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACT	ON REFERENCES AND LIFECYCLE	
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS
ISIN CNE100003059	Depository BIC 2018CH101000	Trade Date 2024-07-10
Local Code 93966	Quantity 33,010	Type RECE
Name GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date 2024-07-10	Payment DVP
	Settlement Currency CNV	Deal Price Currency CNV
	Settlement Amount 3,301,000 10	Deal Price 44.06
	Effective Settlement Date	Currency To Buy
	Settled Currency CNY	Currency To Sell
	▲ Settled Amount 3,301,000.10	FX Cancellation
	Real-Time Settlement Indicator False	
FUND DETAILS	PARTICIPANT DETAILS	
ID 831759	AM RIC SVIICOMPOSI	LC RIC SVINCOMP105X
Name Eidelby China Fund 1759	AM Name S.v n Comp (294).	LC Name S-v n Comp (105).
	Investor ID 200276	SPSA 80100026
	GC BIC SYNCOMP302X	Counterparty - EP (BIC/ Name/ LEI) DTCCSELLOOK
	GC Name S-y nBComp.(362).	Counterparty - CP CCASS ID C00016
	GC's Account at LC 761759	A CP's Account at CCASS 1
	EP's Account at CP 123456	

HKEX Synapse				•	🗖 12 April 2023 🕀 symual 143 symual 143 🕤 💢
Beck Settlement Instruction Details Trade ID: 0000000756	619081				BEREE AGREEM
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
© Successfully Approved					
SI STATUS					
LC MAKER: - APPROVED LC CH	HECKER: - APPROVED	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason: Reaso	on:	Reason:	Reason:	Reason:	Reason:
NA		NA	NA	NA	NA

3. If the GC has not yet approved the SSTI, then the GC Transaction Balance Input Only User will be notified that there is an SSTI pending their approval by a '√' in the LC column and a '—' in the GC column.

HKEX The Power of C	Synapse				N.			aan					0		E 12/	orii 2023	() synuat143 sy	muat143 ~ 💢
	Dashboard		Settlem	ient Instructi	ons			Funds		Relationships		N	larket Data				Reports	
Settlement In	structions																	
SETTLEME		ONS	1	1 8	0	6	6										Q Search	Generate Report
					umatahad Matah	a como	d. Concelled											
				ocessing of	inducies match	setue	a canceneo										2021-0	L05 T
INSTYPE **	CNF100003059	QUANTITY - T	SETTLEMENT CUR	RENCY	SETTLEME 4 005 977 0	NT AMOUN	(T + T	TYPE • T	PAYMENT MODE **	GC ACCOUNT AT LC **	CP CCASS ID **	SPSA * T 81010101	TRADE ID * * 000000075019001	GC • Ŧ	LCAT	CPot	STATUS - T	DETAILS 1
STI	CNE100013059	22 312	CNY		4 055 977 6	7		DELL	0//₽	762231	C00016	01010101	2231094155724021	-	-	-		DETAILS >
SSTI	CNE100003059	2 102	CNY		4.055.977.0	7		DELL	DVP	444111	G00016	81010101	000000075619082		-			DETAILS
SSTI	CNE100003050	2 102	CNY		4 065 977 0	7		DELL	DVP	444111	C00016	80010101	000000075619083	-	-	-		DETAILS
si	CNE100003059	2 231	ONY		4 065 977 0	7		DELL	DVP	762231	801110	20010101	2231994155771021					DETAILS )
SSTI	CNE100003059	2 102	ONY		4 085 977 0	7		DEU	DVP	444111	C00016	81010101	000000075619084	-	-	-		DETAILS >
SSTI	CNE100003059	2.102	CNY		4.065.977.0	7		DELI	DVP	444111	C00016	80010101	000000075619085		-	-		DETAILS >
\$1	CNE100003059	29.625	CNY		4.065.977.0	7		DEU	DVP	762231	B01110	80010301	2119994155771021	-	-	-		DETAILS >
SSTI	CNE100003059	92,200	CNY		4,065,977.0	7		DELI	DVP	762734	C00016	81010101	2034100011076672	1	1	-	Settled	DETAILS
STI	CNE100003059	29,627	CNY		4,055,977.0	7		DELI	DVP	762231	C00016	80010101	2962094155771021	-	-	-		DETAILS >
SSTI	CNE100003059	92,200	ONY		4,065,977.0	7		DEU	DVP	762734	C00016	800100001	2034200011076672	1	1		Settled	DETAILS >
STI	CNE100013159	29,627	ONY		4,065,977.0	7		DEU	DVP	762231	C00016	80010101	2962094155771021	-	-	-		DETAILS >
51	CNE100003059	2,102	ONY		4,085,977.0	7		DEU	DVP	762458	801110	80010101	0000000756190940	-	-	-		DETAILS >
SI	CNE100033359	29,622	CNY		4,085,977.0	7		DEU	DVP	762231	B01110	80010101	2119994155771021	1	1	-	Unmatched	DETAILS >
SI	CNE100003059	29,626	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80010101	2962994155771021	1	1	-	Unmatched	DETAILS >
51	CNE100003059	29,623	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80010101	2115954155771021	~	~	-	Unmatched	DETAILS
51	CNE100003059	29,621	CNY		4,055,977.0	7		DELI	DVP	762231	B01110	80000001	2115954155771021	1	1	-	Unmatched	DETAILS
51	CNE100003059	29,624	ONY		4,065,977.0	7		DEU	DVP	762231	B01110	80010101	2119994155771021	~	~	-	Unmatched	DETAILS >
51	CNE100003059	92,200	ONY		4,085,977.0	7		RECE	DVP	764743	801110	80010101	7433785034052118	1	~	-	Unmatched	DETAILS >
51	CNE100003059	29,621	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80010101	2119994155771021	~	~	-	Cancelled	DETAILS >
51	CNE100003059	29.622	CNY		4,065,977.0	7		DEU	DVP	762231	B01110	80010101	2119994155771021	1	~	-	Cancelled	DETAILS >
51	CNE100003059	29,624	CNY		4,065,977.6	7		DELI	DVP	762231	B01110	80010101	2115994155771021	~	~	-	Cancelled	DETAILS >
51	CNE100003059	29,623	CNY		4,065,977.0	7		DELI	DVP	762231	801110	00000001	2115934155771021	×	~	-	Cancelled	DETAILS
SI	CNE100003059	29,626	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	800100001	2962994155771021	1	1	~	Settled	DETAILS
sm	CNE100003059	29,627	ONY		4,065,977.0	7		DEU	DVP	762231	C00016	80000001	2962094155771021	~	~	~	Cancelled	DETAILS
STI	CNE100003059	29,627	ONY		4,065,977.0	7		DEU	DVP	762231	C00016	80010101	2962094155771021	1	1	1	Cancelled	DETAILS >
STI	CNE100013159	22 312	CNY		4 085 977 0	7		DELL	0/40	761221	000016	81010101	2231004155771021	1	1	1	Sattart	DETAILS >

#### Rejection by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User (same rejection reason(s) between Input Only User and Input Authorise User):



**Rejection by LC Transaction Balance Input Only User:** 

- 1. The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The LC Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HKEX Synapse The Power of Connectivity.	21133010				c) 10 July 2024 @ syngilike729 syngilike729 - 💢 Regist
REY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION	ON REFERENCES AND LIFECYCLE		70405 05748 4	
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DE TAILS	
ISIN	CNE100003059	Depository BC	XHKCHRHIXXX	Trade Date	2024-07-10
Local Code	93905	Quantity	33,010	Туре	RECE
Name	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.05
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	3301000.1 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
10	881759	AM EIC	SYNCOMP294X	LC BIC	SYNCOMP105X
Name	Fidelity China Fund 1759	AM Name	S-y n. Comp.(294).	LC Name	S-y n,Comp.(105).
		Investor ID	200276	SPSA	80000026
		GC BC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
		GC Name	S-y nacomp (362).	Counterparty - CP CCASS ID	C80016
		GU'S Account at LU	761759	CP's Account at CCASS	
		CP & Account at CP	123456		

3. The LC Transaction Balance Input Only User views the details of an SSTI and clicks "Reject" and must select a rejection reason. It is not required to fill in the fields "Settled Amount" and "CP's Account at CCASS" when performing the rejection.

HKEX Synapse					🗉 12 April 2023 @ synual141 synual141 🕤 🏋
	000000075515082				Reject Abbrowc
FINANCIAL INSTRUMENT DETAILS	SINTUS SITEMENT CHECK TRANSACTION	ETTI EMENT DETAILS		TRADE DETAILS	
ISIN Local Code	REJECTION CODE:				2021-06-05 DEU
None	Please select the code corresponding to your reason Invalid Link (INVL)	for rejection of this Settlement Instruction:			DVP CNY
EIND DETAILS				Cancel Submit	*1.00
-					
Name					SynComp521
					8000001
					C80916
HKEX Synapse The Power of Contractivity					🗖 12 April 2023 @synual141 synual141 🗸 💢
Buck Settlement Instruction Details Trade ID: 0	000000075619082				Prince Paperver
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
Successfully Rejected					
SI STATUS					
LC MAKER: × REJECTED	LC CHECKER: -	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Invalid Link (INVL)	NA.	NA	NA	Reason:	NA

# **Rejection by LC Transaction Balance Input Authorise User:**

1. On the Settlement Instructions List view, the LC Transaction Balance Input Authorise User is informed that the LC Transaction Balance Input Only User has rejected an SSTI that is pending their approval by a change in icon from '—' to 'O' in the LC column.

HKEX The Power of C	Synapse												o		E 127	kpril 2023	⊕ synuat143 s	ynuat143 - 💢
	Dashboard		Settlemer	t Instruction				Funds		Relationships		TI N	arket Data				Reports	
Settlement Ins	tructions						199 <b>7</b>											
SETTLEME	NT INSTRUCT	IONS	11	7	0	6	7										Q Search	Generate Report
			Proc	essing Unma	tched Matche	1 Settled	Cancelled											
																	2021-0	i-05 🗖
INS TYPE * *	ISIN ^ *	QUANTITY	SETTLEMENT CURRE	NCYAT	SETTLEMEN	T AMOUN	r a w	TYPE * *	PAYMENT MODE **	GC ACCOUNT AT LC * *	CP CCASS ID * *	SPSA * *	TRADE ID ^ *	GC * *	LC ^ *	CP ^ *	STATUS ^ *	
STI	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00015	\$000001	2231094155771021	-	-	-		DETAILS
5571	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00015	50000001	000000075613032	-	•	-		DETAILS >
SSTI	CNE100003059	2,102	CNY		4,065,977.07			DEU	DVP	444111	C00016	50000001	000000075619033	-	-	-		DETAILS
51	CNE100003059	2,231	CNY		4,065,977.07			DEU	DVP	762231	B01110	80000001	2231994155771021	-	-	-		DETAILS >
SSTI	CNE100003059	2,102	CNY		4,085,977.07			DELI	DVP	444111	C00015	50000001	000000075519034	-	-	-		DETAILS
SSTI	CNE100003059	2,102	CNY		4,085,977.07			DEU	DVP	444111	C00015	80000001	000000075619035	-	-	-		OCTAILS >
51	CNE100003059	29,625	CNY		4,085,977.07			DEU	DVP	762231	801110	80000001	2119994155771021	-	-	-		OCTAILS >
SSTI	CNE100003059	\$2,200	CNY		4,085,977.07			DELI	DVP	762734	C00018	80000001	2034100011076672	1	1	-	Settled	DETAILS >
STI	CNE100003059	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00016	80000001	2962094155771021	-	-	-		OCTAILS >
SSTI	CNE100003059	\$2,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	50000001	2034200011076672	~	~	-	Settled	OCTAILS >
STI	CNE100003039	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS >
SI	CNE100003059	2,102	CNY		4,065,977.07			DEU	DVP	762456	801110	80000001	0000000756193940	-	-	-		DETAILS >
SI	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	50000001	2119994155771021	~	~	-	Unmatched	OCTAILS >
SI	CNE100003059	29,626	CNY		4,065,977.07			DEU	DVP	762231	B01110	80000001	2962994155771021	~	1	-	Unmatched	DETAILS >
SI	CNE100003059	29,623	CNY		4,065,977.07			DELI	DVP	762231	B01110	50505031	2119594155771021	~	~	-	Unmatched	DETAILS
51	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	D01110	50000001	2119994155771021	× .	1	-	Unmatched	DETAILS >
SI	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	50000001	2119594155771021	~	1	-	Unmatched	DETAILS
58	CNE100003059	92,203	CNY		4,065,977.07			RECE	DVP	764743	001110	50000001	7435765034052115	~	~	-	Unmatched	DETAILS
SI	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	50000001	2119994155771021	1	1	-	Cancelled	DETAILS
51	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	50000001	2119394155771021	~	1	-	Cancelled	DETAILS
SI	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	801110	50000001	2119394155771021	1	1	-	Cancelled	DETAILS
SI	CNE100003059	29,623	CNY		4,065,977.07			DELI	DVP	762231	B01110	8000001	2119394155771021	~	1	-	Cancelled	DETAILS
si	CNE100003059	29,625	CNY		4,065,977.07			DELI	DVP	762231	801110	50000001	2952994155771021	~	1	~	Settled	DETAILS >
STI	CNE100003059	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00015	80000001	2962094155771021	~	1	1	Cancelled	DETAILS
STI	CNE100003059	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00015	\$0000001	2982094155771021	~	~	~	Cancelled	DETAILS >
STI	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00015	50000001	2231094155771021	~	1	1	Settled	DETAILS >
SI	CNE100003059	29.625	CNY		4,065,977.07			DEU	DVP	762231	801110	80000001	2119994155771021	~	1	-	Unmatched	DETAILS >

2. The LC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Reject" and must select a rejection reason.

HKEX Synapse The Power of Connectivity. • Back Settlement Instruction Details Trade ID: 617123072	21133010			•	🗖 10 July 2024 @ symplike731 symplike731 🗸 🂢
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTIO	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN Local Code	CNE 100003059 93956	Depository BIC Quantity	30HKCHI9H1XXX 33.010	Trade Date	2024-07-10 RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency Settlement Amount Effective Settlement Date Settled Currency A Settled Amount Real-Time Settlement Indicator	CHV 3.301.80.10 CHV 3.301.801.01 7.801.801.01 7.818	Deal Price Currency Deal Price Currency To Buy Currency To Sell FX Cancellation	GNY 44.06
FUND DETAILS		PARTICIPANT DETAILS			
10	881759	AM BIC	SVNCOMP294X	LC BIC	SYNCOMP105X
Name	Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n,Comp.(105).
		Investor ID GC BIC	200276 SYNCOMP362X 5 und Comp (552)	SPSA Counterparty - EP (BIC/ Name/ LEI)	8000028 DTCCSELLXXX
		GC's Account at LC EP's Account at CP	761759 123456	CP's Account at CCASS	00018

 The LC Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This SSTI can be re-approved by LC Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved.

The re-approval process is the same as approval.



HI	KEX Synapse Power of Connectivity				•	🖻 12 April 2023 @ synuat143 synuat143 🗸 💢
+ Back	Settlement Instruction Details Trade ID: 00000	00075619082				Reject Approve
KEY S	ETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
© Succe	ssfully Rejected					
	SI STATUS					
	LC MAKER: × REJECTED	LC CHECKER: × REJECTED	GC APPROVED:	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	Invalid Link [INVL]	Invalid Link [INVL]	NA	NA	NA	NA

4. If the GC has not yet approved the SSTI, then the GC Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SSTI that has been rejected by a 'X' in the LC column.

HKEX The Power of C	Synapse												0		⊟ 12.	4pril 2023	3 🕀 synuat143 s	ynuat143 - 💢
	Dashboard		Settlemen	t Instruction	•			Funds		Relationships		() N	larket Data				Reports	
Settlement Ins	tructions																	
SETTLEME	NTINSTRUCT	IONS	11	7	0	6	7										Q Search	Generate Report
			Prop	essing Unma	stched Matche	d Settled	Cancelled											
																	2021-0	5-05
INS TYPE A T	ISIN 4 T	QUANTITY	SETTI EMENT CURREN	NCY 6 T	SETTLEME	NT AMOUNT		TYPEAT	PAYMENT MODE 1.*	GC ACCOUNT AT LC 17	CRICCASS ID A 7	SPSA ^ T	TRADE ID A T	60.47	1047	CRAT	STATUS 1	
STI	CNE100003059	22,312	CNY		4,065,977.0	7		DEU	DVP	762231	C00016	80000001	2231094155771021	-	-	-		DETAILS >
SSTI	CNE100003059	2,102	CNY		4,085,977.0	7		DELI	DVP	444111	C00016	80000001	000000075519032	-	×	-		DETAILS >
SSTI	CNE100003059	2,102	CNY		4,065,977.0	7		DELI	DVP	444111	C00016	80000001	000000075619083	-	-	-		DETAILS >
51	CNE100003059	2,231	CNY		4,065,977.0	7		DEU	DVP	762231	801110	80000001	2231994155771021	-	-	-		DETAILS >
SSTI	CNE100003059	2,102	CNY		4,005,977.0	7		DELI	DVP	444111	C00016	80000001	000000075619084	-	-	-		DETAILS >
SSTI	CNE1000030.59	2,102	CNY		4,005,977.0	7		DELI	DVP	444111	C00016	80000001	0000000075619085	-	-	-		DETAILS >
SI	CNE100003059	29,625	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80000001	2119994155771021	-	-	-		DETAILS
SSTI	CNE100003059	92,200	CRY		4,065,977.0	7		DELI	DVP	762734	C00016	80000001	2034100011076672	~	1	-	Setted	DETAILS
STI	CNE100003059	29,627	CNV		4,065,977.0	7		DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS
SSTI	CNE100003059	92,200	CNY		4,065,977.0	7		DELI	DVP	762734	C00016	80000001	2034201011076672	~	~	-	Setted	DETAILS >
STI	CNE100003059	29,627	CNY		4,065,977.0	7		DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS >
SI	CNE100003059	2,102	CNY		4,065,977.0	7		DEU	DVP	762458	B01110	80000001	000000758190940	-	-	-		DETAILS
51	CNE100003059	29,622	CNY		4,065,977.0	7		DEU	DVP	762231	801110	80000001	2119994155771021	~	~	-	Unmalched	DETAILS
51	CNE100003059	29,626	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80000001	2962994155771021	~	~	-	Unmatched	DETAILS >
51	CNE100003059	29,623	CNY		4,005,977.0	7		DEU	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS >
51	CNE100003059	29,621	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS
51	CNE100003059	29,624	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS
SI	CNE100003059	92,200	CNY		4,065,977.0	7		RECE	DVP	764743	B01110	80000001	7438768034052118	1	1	-	Unmatched	DETAILS
51	CNE100003059	29,621	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
51	CNE100003059	29,622	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS >
SI	CNE100003059	29,624	CNY		4,065,977.0	7		DEU	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
51	CNE100003059	29,623	CNY		4,065,977.0	7		DELI	DVP	762231	801110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS >
SI	CNE100003059	29,626	CNY		4,065,977.0	7		DELI	DVP	762231	B01110	80000001	2962994155771021	~	~	~	Settled	DETAILS
STI	CNE100003059	29,627	CNY		4,065,977.0			DEU	DVP	762231	C00016	80000001	2962094155771021	~	1	~	Cancelled	DETAILS
STI	CNE100003059	29,627	CNY		4,065,977.0			DELI	DVP	762231	C00016	80000001	2962094155771021	~	~	~	Cancelled	DETAILS
STI	CNE100003059	22,312	CNY		4,065,977.0			DELI	DVP	762231	C00016	80000001	2234094155771021	×	~	~	Setted	DETAILS
SI	CNE100003059	29,625	CNY		4.065,977.0	7		DELI	DVP Devices to a b	762231	B01110	80000001	2119994155771021	~	1	-	Unmatched	DETAILS
									Freehous C 2 h									

#### Approval by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User):



- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
- 3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI.

The re-approval process is the same as approval, while the re-reject process is the same as rejection.

# **Rejection by LC Transaction Balance Input Only User;**

Rejection by LC Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):



- 1. Since the LC Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
- 2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
- 3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

#### Rejection by LC Transaction Balance Input Only User; Approval by LC Transaction Balance Input Authorise User:



- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
- 3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

#### 7.4.2 Sell Side

# 7.4.2.1 Exchange Participant (EP)

#### EPs have view only rights to SSTI processing.

HKEX Syna The Power of Connectivity.	tion Details Trade ID: 000000056341173				🖻 22 August 2022 @ synual221 synual221 🧹 🏌
KEY SETTLEMENT DET	AILS SETTLEMENT STATUS SI HE	ALTH CHECK TRANSAC	TION REFERENCES AND LIFECYCLE		
FINANCIAL INSTRUMEN	IT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN Local Code Name PARTICIPANT DETAILS	CNE100003059 93886 GIGADEVICE SEMICONDUCTOR(BELIING) INC	Depository BIC Quantity Settlement Date Settlement Currency Settlement Amount Effective Settlement Date Settled Currency Settled Amount Real-Time Settlement Indicator	XHKCHKHXXX 92,280 2021-05-04 CHY 4,065,977.07 CHY 4,065,977.07 False	Trade Date Type Payment Deal Price Currency Deal Price Currency To Buy Currency To Sell FX Cancellation	2021-06-05 DELI DVP CNV 44.05 USD ERTS
EP BIC EP Name EP's Account at CP CP BIC CP Name	SGSEPAAA00X SynComp532 906546 DTCCDEA6X0X SynComp541				

# 7.4.2.2 Clearing Participant (CP)

Approval by CP Transaction Balance Input Only User; Approval by CP Transaction Balance Input Authorise User:



Approval by CP Transaction Balance Input Only User:

- 1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and is informed that there is an SSTI pending their approval by a '—' in the CP column.

HKEX The Power of C	Synaps Connectivity	e												E 12	April 202	3 @ synual281 synu	a1281 - 🗙
	Dashboard		Settlement Inst	ructions				Accounts		Relationships	Mark	et Data				Reports	
Settlement In	structions																
SETTLEME	NTINSTRU	CTIONS	11	0	0	3	2									Q Search	Generate Report
			Processing	Unmatched	Matcher	d Settler	L Cancell	ed									
				,												2021-06-05	
INS TYPE - T	ISIN 4 T		SETTI EMENT CURDENCY - T	SETTI EMEN	TAMOUN	T - T	TYPE	DAVMENT MODE - T	FPIS ACCOUNT AT CR 4 T	CPIS ACCOUNT AT COASS 4.7	IC COASSID-T	TRADE ID - T	CRAT	6C+7	1047	STATUS	
STI	CNE1000030.59	22,312	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624102231	-	-	-		DETAILS >
SI	CNE100003059	2,231	CNY	4,065,977.07			RECE	DVP	900546	11	C00015	6855324624182231	-	-	-		DETAILS
SST	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341103	-	-	-		DETAILS
SSTI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341184	-	-	-		DETAILS
SSTI	CNE100003059	2,102	ONY	4,085,977.07			RECE	DVP	2000001	900113	C00016	000000056341185	-	-	-		DETAILS
STI	CNE100003059	29,627	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129827	-	-	-		DETAILS >
STI	CNE100003059	29,627	CNY	4,065,977.07			RECE	OVP	900546	11	B01110	6855324624129628	-	-	-		DETAILS
SSTI	CNE100003059	92,200	CNY	4,665,977.07			RECE	DVP	900546	11	801110	400000557582035	~	-	-	Reject by CCASS	DETAILS
58	CNE100003059	29,626	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324624129626	-	~	~		DETAILS
SI	CNE100003059	29,626	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324604129526	~	1	~	Settled	DETAILS
STI	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604129627	~	~	~	Cancelled	DETAILS
STI	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604129628	1	1	1	Cancelled	DETAILS
STI	CNE100003059	22,312	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604102231	~	~	~	Settled	DETAILS
SI	CNE100003059	2,231	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324604182231	~	~	~	Settled	DETAILS >
SSTI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341182	-	-	×		DETAILS
SSTI	CNE100003059	2,102	CNY	4,065,977.07			RECE	DVP	2000001 revious < > Next	900113	C00016	000000056341181	-	-	~		DETAILS

3. The CP Transaction Balance Input Only User goes to the Settlement Instructions Details view by clicking "Details".

HKEX Synapse The Power of Connectivity.				🗇 12 April 2023 🕀 symual281 symual281 🗸 💢
Back Settlement Instruction Details Trade ID: 000000056341183				Reject Access
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRA	NSACTION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN CNE10	003059 Depository BIC	XHKCHKH1X0X	Trade Date	2021-06-05
Local Code	93906 Quantity	2,102	Type	RECE
Name GIGADEVICE SEMICONDUCTOR(BELI	NG) INC Settlement Date	2021-06-06	Payment	DVP
	Settlement Currency	CNY	Deal Price Currency	CNY
	Settlement Amount	4,065,977.07	Deal Price	44.05
	Effective Settlement Date		Currency To Buy	
	Settled Currency	CNY	Currency To Sell	USD
	Settled Amount	4065977.07 HKD	FX Cancellation	
	Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS				
EP BKC DTCCS	ELLXXX			
EP Name Synd	omp531			
EP's Account at CP	2000001			
CP BIC DTCCD	AGIOX			
CP Name Synt	emp541			
CP's Account at CCASS	900113			
Counterparty - AM (BIC/ Name/ LEI)				
Counterparty - LC CCASS ID	C00016			
A LC's Account at CCASS				
GC's account at LC	140002			

- 4. The CP Transaction Balance Input Only User views the details of an SSTI. When approving SSTIs, the CP to enter two fields:
  - a. Settled Amount (optional)
  - b. LC'S Account at CCASS (mandatory)

HKEX Synapse The Power of Connectively					🖻 12 April 2023 @ symult281 symult281 🗟 🗙
Back Settlement Instruction Details Trade ID: 000	0000056341183				Reject Science
KEY SETTLEMENT DETAILS SETTLEMENT ST	ATUS SI HEALTH CHECK TRANSACT	ION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE10002059	Depository BIC	XHICHINHIXXX	Trade Date	2021-06-05
Local Code	93956	Quantity	2,102	Туре	RECE
Name	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2021-06-05	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNV
		Settlement Amount	4,065,977.07	Deal Price	44.05
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CALV	Currency To Sell	USD
		Settled Amount	4065977.07 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP BIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	2101001				
CP BIC	DTOODEAGXXX				
CP Name	SynComp541				
CP's Account at CCASS	900113				
Counterparty - AM (BIC/ Name/ LEI)					
Counterparty - LC CCASS ID	C03016				
LC's Account at CCASS	2010 C 1000 C 1000 C				
GC's account at LC	140002				

5. After entering in those two fields, then the CP Transaction Balance Input Only User can approve the SSTI by clicking "Approve".

HKEX Synapse The Power of Connectivity.				•	🗅 12. April 2023 🏵 symual 281 symual 281 - 🂢
Beek Settlement Instruction Details Trade ID:	000000056341183				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003058	Depository BIC	зенясниенорох.	Trade Date	2021-06-05
Local Code	93906	Quantity	2.102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2621-06-06	Payment	DVP
		Settlement Currency	CRV	Deal Price Currency	CNY
		Settlement Amount	4,055,977.07	Deal Price	44.05
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		A Settled Amount	4065977.07 HKD	FX Cancellation	
		Real-Time Settlement Indicator	Falso		
PARTICIPANT DETAILS					
EPBIC	DIOGSELLOOK				
EP Name	5)mcompost				
EP's Account at CP	200001				
CP Bic	DICCERDICO				
CP Note:	50000041				
Constant of CONTACT Name (1971)	200113				
Counterparty - An (SEC Name Lef)	C00016				
A LCo Assessed at CCARE	Charle				
HKEX Synapse The Power of Connectivity.					🗂 12 April 2023 🛈 symuat281 symuat281 🕤 🔀
Back Settlement Instruction Details Trade ID:	000000056341183				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMEN	T STATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
Successfully Approved					
SI STATUS					
CP MAKER: ~ APPROVED	CP CHECKER: -	GC APPROVED: -	LC APPROVED: -	CCASS STATUS	CANCELLATION STATUS:
Reserve	Bassor	Reserver	Deserver:		Deserver
				Reason:	
NA	NA	NA	NA.	NA	NA

#### Approval by CP Transaction Balance Input Authorise User:

1. The CP Transaction Balance Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

On the Settlement Instructions List view, the CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has approved an SSTI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

HKEX The Power of C	Synaps	e													April 203	3 🕀 symual/283 symu	181283 ~ 💢
	Dashboar		Sottlement Inst	ructions				Accounts		Relationships	Mark	et Data				Reports	
Settlement In	structions																
SETTLEME	ENT INSTRU	CTIONS	11	0	0	3	2									Q Search	Generate Report
			Processing	Unmatched	Matched	Settle	Cancelle	d									
																2021-06-05	5 🗖
INS TYPE 1	ISIN 4 T	QUANTITY®T	SETTLEMENT CURRENCY * *	SETTLEMEN	TAMOUNT	6 <del></del>	TYPE	PAYMENT MODE 1 7	EP'S ACCOUNT AT CP * *	CP'S ACCOUNT AT CCASS 4 T	LC CCASSID **	TRADE ID * *	CP 1	GC 4 T	LCAR	STATUS * *	
STI	CNE100003039	22,312	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624102231	-	-	-		DETAILS
SI	CNE100003039	2,231	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324624182231	-	-	-		DETAILS >
SSTI	CNE1000030 S9	2,102	CNY	4,065,977.07			RECE	DVP	2000001	500113	C00016	000000056341183	•	-	-		DETAILS
SST	CNE100003059	2,102	CNY	4,065,977.07			RECE	DVP	2000001	500113	C00016	0000000056341184	-	-	-		DETAILS
SSTI	CNE100003059	2,102	CNY	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341155	-	-	-		DETAILS
STI	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129627	-	-	-		DETAILS
STI	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129628	-	-	-		DETAILS
SSTI	CNE100003059	92,200	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	40000005575B2035	~	-	-	Reject by CCASS	DETAILS
51	CNE100003059	29,626	CNV	4,085,977.07			RECE	DVP	900546	11	C00016	6855324624129626	-	~	~		DETAILS >
SI	CNE1000030 SP	29,626	CNV	4,085,977.07			RECE	DVP	900546	11	C00016	6855324604129626	~	~	~	Settled	DETAILS >
STI	CNE1000030.59	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604129627	~	~	~	Cancelled	DETAILS >
STI	CNE1000030 S9	29,627	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604129628	~	~	~	Cancelled	DETAILS >
STI	CNE1000030.59	22,312	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604102231	~	~	×	Settled	DETAILS >
SI	CNE100003059	2,231	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324604182231	~	~	~	Settled	DETAILS
5571	CNE100003059	2,102	CNV	4,065,977.07			RECE	DAb	2000001	500113	C00016	000000056341152	-	-	×		DETAILS >
SSTI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	500113	C00016	000000056341181	-	-	~		DETAILS

2. The CP Transaction Balance Input Authorise User clicks "Details" to view the details of the SSTI and approves it by clicking "Approve".

•Rick Settlement Instruction Details Trade	ID: 000000056341183				Reject Appro
KEY SETTLEMENT DETAILS SETTLEME	ENT STATUS SI HEALTH CHECK TRANSACT	ION REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE10003050	Depository BIC	хниснинюхх	Trade Date	2021-06
Local Code	93965	Quantity	2.102	Туре	RE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	0
		Settlement Currency	ONY	Deal Price Currency	c
		Settlement Amount	4,065,977.07	Deal Price	44
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNV	Currency To Sell	U
		A Settled Amount	4,055,977.07	FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP BIC	DTOCSELLXXX				
EP Name	SurComp531				
EP's Account at CP	2010101				
CP BIC	DTCCDEAGXXX				
CP Name	Successial				
CIPA Account at CCASS	505113				
Countermarthy AM (REC (Name)   EI)					
Counterparty - LC CCASS ID	00016				
A 1 Conference of CCASS	Coloria				
Consequent at 10	140907				
					🗖 12 April 2023 🕀 synual283 synual283 🗸 🏋
HKEX Synapse		SAMATA MALANCE AND			
HKEX Synapse he Power of Connectivity. tack Settlement Instruction Details Trade ID:	000000056341183	\$1711777111111111111111111111111111111			Reject Approve
HKEX Synapse he Power of Cormodivity. Settlement Instruction Datails Trade ID: Y SETTLEMENT DETAILS SETTLEMEN	0000000056341183 NT STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
HKEX Synapse he Power of Connectivity. Settlement Instruction Datalis Trade ID: Y SETTLEMENT DETAILS SETTLEMEN SETTLEMENT DETAILS	000000056341183 NT STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
HKEX Synapse he Power of Connectivity. Settlement Instruction Databilit Trade ID: Y SETTLEMENT DETAILS SETTLEMEN excession/Approved si STATUS	000000055341183 VT STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			Rect Assess
HKEX Synapse he Yeard Connective; Settlement Instruction Databits Trade ID: V SETTLEMENT DETAILS SETTLEMENT SETTLEMENT CP MAKER: V APPROVED	000000050311183 VT STATUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE	LC APPROVED:	CCASS STATUS:	CANCELLATION STATUS:
HEEX Synapse In Your of Connective Settlement Instruction Datalis Trade ID: SETTLEMENT DETAILS SETTLEMENT SISTATUS CP MODE: A PHYORID Reasons	000000055341133 VT STATUS SI HEALTH CHECK TRANSACTIO CP CHECKER, J APPROVED Bases	R REFERENCES AND LIFECYCLE GCAPPROVED: - Reason:	LC APPROVED Reason	CCASS TIATUS: Present	CANCELLARION STATUS: Reserve

#### Rejection by CP Transaction Balance Input Only User;

Rejection by CP Transaction Balance Input Authorise User (same rejection reason(s) between Input Only User and Input Authorise User):



#### **Rejection by CP Transaction Balance Input Only User:**

- 1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and goes to the Settlement Instructions Details view by clicking "Details".

HKEX Synapse The Power of Connectivity.					🗂 12 April 2023 (i) synuat281 synuat281 🕤 💢
Back Settlement Instruction Details Trade ID	: 000000056341184				Reject Muscow
KEY SETTLEMENT DETAILS SETTLEMEN	IT STATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE106063659	Depository BIC	XHKCHRH13OX	Trade Date	2021-05-05
Local Code	93906	Quantity	2,102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-05	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNV
		Settlement Amount	4,065,977.07	Deal Price	44.05
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	4065977.07 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
50 mm					
EP Dic	Discould a				
EP Name	5ynComp551				
CP DK	DECEDENDATI				
CT Me	Decembra				
CP Associated CCASS	910113				
Counterparts - AM (BIC) Name/ LED					
Counterparty - LC CCASS ID	C00018				
A LC's Account at CCASS					
GC's account at LC	140002				

3. The CP Transaction Balance Input Only User views the details of an SSTI and clicks "Reject" and must select a rejection reason. It is not required to fill in the fields "Settled Amount" and "LC's Account at CCASS" when performing the rejection.

HKEX Synapse			· · · · · · · · · · · · · · · · · · ·
The Power of Connectivity.			🖹 12 April 2023 (ii) synual281 synual281 👻 🙏
Back Settlement Instruction Details Trade ID: 0000	1000056341184		Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE		
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS	
ISIN	REJECTION CODE:		2021-05-05
Local Code			RECE
Name	Please select the code corresponding to your reason for rejection of this settlement instruction: Involve Roads (Roads (R))		DVP
	intern intern card lawel		44.05
		Cancel Submit	
			USD
PARTICIPANT DETAILS			
FO DV			
EP Name			
EP's Account at CP			
CP INC			
CP Name			
CP's Account at CCASS			
Counterparty - AM (BC Namer LEI)			
LC's Account at CCASS			
GC's account at LC			
-			

ETTLEMENT DETAILS S	ETTLEMENT STATUS SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCL	E		
ssfully Rejocted					
CP MAKER: × REJECTED	CP CHECKER: -	GC APPROVED:	LC APPROVED: -	CCASS STATUS	CANCELLATION STATUS:
Researc	Researc	Research:	Reason:	Reason:	Reason:
Invalid Investor Party [INVE]	NA	NA	NA	NA	NA

#### **Rejection by CP Transaction Balance Input Authorise User:**

1. On the Settlement Instructions List view, the CP Transaction Balance Input Authorise User is informed that the CP Transaction Balance Input Only User has rejected an SSTI that is pending their approval by a change in icon from '—' to 'O' in the CP column.

HKEX The Power of	Synaps	e			N							a).		E 12	April 202	3 @ synual283 synu	a1283 - 🗶
	Dashboard	<b>1</b>	Settlement Ins	tructions				Accounts		Relationships	Mar	ket Data				Reports	
Settlement In	structions																
SETTLEM	ENTINSTRU	CTIONS	11	0	0	3	2									Q. Search	Generate Report
			Processi	ig Unmatch	ed Matche	ed Settle	d Cancel	led								2021-06-0	s 🖻
INC TYPE 5 T	I CIN 6 T	ONANTITY : -	SETTI EMENT CHERENCY 1.7	SETTI EN	ENT AMOUNT	a	TYPE	DAYMENT MODE 1	EPIS ACCOUNT AT CRA	CPS ACCOUNT AT CLASS 1 7	LC CLASSIN! *	TRADE ID 1 7	(78) ·	OC 1 -	1042	STATUS	
STI	CNE100003059	22,312	CNY	4,065,977	.07		RECE	DVP	900546	11	B01110	6855324624102231	-	-	-		OCTAILS >
SI	CNE100003039	2,231	CITY	4,065,977	.07		RECE	DVP	900546	11	C00016	6855324624182231	-	-	-		DETAILS >
SSTI	CNE100003059	2,102	CNY	4,065,977	.87		RECE	DVP	2000001	900113	C00016	6060602056341154		-	-		DETAILS >
SSTI	CNE100003059	2,102	CNY	4,065,977	.07		RECE	DVP	2000001	900113	C00016	000000056341105	-	-	-		DETAILS
STI	CNE100003059	29,627	CNY	4,065,977	97		RECE	DVP	900546	11	B01110	6855324624129627	-	-	-		DETAILS >
STI	CNE1000030.59	29,627	CNV	4,065,977	.07		RECE	DVP	909546	11	801110	6855324624129628	-	-	-		OFTAILS >
SSTI	CNE100003059	92.200	CNY	4,065,977	.87		RECE	DVP	900546	11	B01110	40000005575B2035	1		-	Reject by CCASS	DETAILS
51	CNE100003059	29.626	CNY	4,065,977	.87		RECE	DVP	900546	11	C00016	6855324624129626	-	1	4		DETAILS >
21	CNE100003059	29.626	CNY	4,065,977	.87		RECE	DVP	900546	11	C00016	6855324604129626	~	1	4	Settled	DETAILS >
STI	CNE100003059	29,627	CNV	4,065,977	.07		RECE	DVP	900546	11	B01110	6855324604129627	~	1	4	Cancelled	DETAILS >
STI	CNE100003059	29,627	CRY	4,065,977	87		RECE	DVP	900546	11	B01110	6855324604129628	1	~	1	Cancelled	DETAILS
STI	CNE100003059	22,312	CNV	4,065,977	07		RECE	DVP	900546	11	B01110	6855324604102231	1	1	4	Settled	DETAILS >
51	CNE100003059	2,231	CNY	4,065,977	.07		RECE	DVP	900546	11	C00016	6855324604182231	1	1	~	Settled	OCTAILS >
SSTI	CNE100003059	2,102	CNY	4,065,977	.67		RECE	DVP	2000001	900113	C00016	6060605056341162	-	-	×		DETAILS >
\$511	CNE1000030 59	2,102	CNV	4,065,973	07		RECE	DVP	2000001	900113	C00016	000000056341181	-	<b>C</b>	4		DETAILS >
SSTI	CNE100003059	2,102	CREY	4,065,977	87		RECE	DVP	2000001	500113	C00016	000000056341183	4	-	-		DETAILS >

2. The CP Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Reject" and must select a rejection reason.

HKEX Synapse The Power of Connectivity:			🗂 12 April 2023 🌒 synuat283 synuat283 🕤 💢								
			Reject Approve								
KEY SETILEMENT DETAILS_SETILEMENT STATUS_SI HEALTH CHECK_TRANSACTION REFERENCES AND LIFECYCLE											
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS									
ISN Load Cote Name	REJECTION CODE: Please select the code corresponding to your reacon for rejection of this Settlement Instruction local locals Play (Brid)	Canod Submit	2021-06-05 HEDCE DVP CMP 44.00								
PARTICIPANT DETAILS #7 RC #7 Rc #7 Rome #7 R											

 The CP Transaction Balance Input Authorise User selects the same rejection reason as the Input Only User, and the rejection is executed. This SSTI can be re-approved by CP Transaction Balance Input Only and Input Authoriser Users again once the issues have been resolved.

The re-approval process is the same as approval.

H	KEX Synapse	V.			•	🗂 12 April 2023 🏵 symuat283 symuat283 🕤 🔀				
Bask Settlement Instruction Datable Trade ID: 000000005511184										
KEY S	ETTLEMENT DETAILS SETTLEMENT S	TATUS SI HEALTH CHECK TRANSACTION	N REFERENCES AND LIFECYCLE							
© Succe	ssfully Rejected									
	SI STATUS									
	CP MAKER: × REJECTED CP CHECKER: × REJECTED		GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:				
	Reason:	Reason:	Reason:	Reason:	Reserve	Reason:				
	Invalid Investor Party (INVE) Invalid Investor Party (INVE)		NA	NA	NA	NA				
						I				

4. If the CP has not yet approved the SSTI, then the CP Transaction Balance Input Only User is informed on the Settlement Instructions List view that there is an SSTI that has been rejected by a 'X' in the CP column.

#### Approval by CP Transaction Balance Input Only User; Rejection by CP Transaction Balance Input Authorise User):



- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.

H	KEX Synapse Power of Connectivity.					🗅 12 April 2023 🏵 synual283 synual283 🗸 💢				
Buss Settlement Instruction Details Trade ID: 0000000056341182     Ingent Approx1										
KEY S	KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE									
Rejection	ted to Maker									
	SI STATUS									
	CP MAKER: PENDING AMENDMENT	CP CHECKER: REJECTED TO MAKER	GC APPROVED: -	LC APPROVED: × REJECTED	CCASS STATUS:	CANCELLATION STATUS:				
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:				
	NA	NA	NA	Invalid Link (INVL)	NA	NA				

4. On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

# Rejection by CP Transaction Balance Input Only User; Rejection by CP Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):



- 1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
- 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.
| H         | KEX Synapse<br>Power of Connectivity.          |                                 |                          |                         |               | 🗂 12 April 2023 🛞 synual283 synual283 🗸 🗙 |
|-----------|--|---------------------------------|--------------------------|-------------------------|---------------|---|
| + Baci    | Settlement Instruction Details Trade ID: 00000 | 00056341182                     |                          |                         |               | Reject Approve                            |
| KEY S     | SETTLEMENT DETAILS SETTLEMENT STAT             | TUS SI HEALTH CHECK TRANSACTION | REFERENCES AND LIFECYCLE |                         |               |   |
| Rejection | ted to Maker                                   |                                 |                          |                         |               |   |
|           | SI STATUS                                      |                                 |                          |                         |               |   |
|           | CP MAKER: PENDING AMENOMENT                    | CP CHECKER: REJECTED TO MAKER   | GC APPROVED:             | LC APPROVED: × REJECTED | CCASS STATUS: | CANCELLATION STATUS:                      |
|           | Reason:  | Reason:                         | Reason:                  | Reason:                 | Reason:       | Reason:                                   |
|           | NA   | NA                              | NA                       | Invalid Link (INVL)     | NA            | NA  |
|           |  |                                 |                          |                         |               |   |

3. On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

## Rejection by CP Transaction Balance Input Only User; Approval by CP Transaction Balance Input Authorise User:



- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
- 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.
- 3. On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

# 7.5 Settlement Status

The Settlement Status tab within the Settlement Instruction Details View shows the status of where the instruction is across the various market participants.

# 7.5.1 Buy Side

## 7.5.1.1 Asset Managers (AM)

H	KEX Synapse Power of Connectivity.				•	🗄 12 April 2023 🕮 synuat001 synuat001 🕤 🔀
<ul> <li>←Bac</li> </ul>	k Settlement Instruction Details Trade ID: 22319	94155771021				
KEY :	SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
	SI STATUS					
	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CP APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:	
	Reason:	Reason:	Reason:	Reason:	Reason:	
	NA	NA	NA	NA	NA	

Field	Description
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
СР	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCRR – unmatched – settlement currency unmatch - DSEC – unmatched – stock code/ISIN unmatch - DQUA – unmatched – quantity unmatch - CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatch - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatch - DMON – unmatched – money value unmatch - DDAT – unmatched – settlement date unmatch - DELN – unmatched – transaction direction unmatch - SETD – Settled
Reason	Indicated reason for CCASS unmatched status: - NCRR – settlement currency unmatch + description - DSEC – stock code/ISIN unmatch + description - DQUA – quantity unmatch + description - CMIS – no possible matching SI found + description
	<ul> <li>OTHR – other + description</li> <li>FRAP – payment instruction unmatch + description</li> <li>PODU – possible matching SI but not earmarked as pairs + description</li> <li>SAFE – client A/C no. unmatch + description</li> <li>DMON – money value unmatch + description</li> </ul>

Field	Description
	<ul> <li>DDAT – settlement date unmatch + description</li> <li>DELN – transaction direction unmatch + description</li> <li>Note: "Description" next to unmatched status refers to the value provided by counterparty.</li> </ul>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.5.1.2 Global Custodian (GC)

HKEX Synapse The Power of Connectivity.					•	🖻 12 April 2023 🏽 synuat071 synuat071 🗸 💢
+ Bac	k Settlement Instruction Details Trade ID: 296	994155771021				Report Approve
KEY 8	KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
	SI STATUS					
	GC MAKER: ~ APPROVED	GC CHECKER: < APPROVED	LC APPROVED: ~ APPROVED	CP APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA	NA
	GC MAKER: V APPROVED Resson: NA	GC CHECKER: -/ APPROVED Resson: NA	LC APPROVED: ~ APPROVED Reason: NA	CP APPROVED: ~ APPROVED Reason: NA	CCASS STATUS: SETTLED Reason: NA	CANCELLATION STATUS: Reason: NA

Field	Description
GC Maker	Indication that GC Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by GC Transaction Balance Input Only User
Reason	Reason for GC rejection input by GC Transaction Balance Input Only User
GC Checker	Indication that GC Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to GC Transaction Balance Input Only User for amendment
Reason	Reason for GC rejection input by GC Transaction Balance Input Authorise User
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
СР	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCRR – unmatched – settlement currency unmatch - DSEC – unmatched – stock code/ISIN unmatch - DQUA – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatch - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatch

Field	Description
	- DDAT – unmatched – settlement date unmatch
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
Reason	Indicated reason for CCASS unmatched status:
	<ul> <li>NCRR – settlement currency unmatch + description</li> </ul>
	<ul> <li>DSEC – stock code/ISIN unmatch + description</li> </ul>
	- DQUA – quantity unmatch + description
	<ul> <li>CMIS – no possible matching SI found + description</li> </ul>
	- OTHR – other + description
	<ul> <li>FRAP – payment instruction unmatch + description</li> </ul>
	- PODU – possible matching SI but not earmarked as pairs + description
	<ul> <li>SAFE – client A/C no. unmatch + description</li> </ul>
	- DMON – money value unmatch + description
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + description
	Note: "Description" next to unmatched status refers to the value provided by
	counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.5.1.3 Local Custodian (LC)

HKEX Synapse The Fower of Connectivity. Base Settlement Instruction Details Trade ID: 296/294155/71021		994155771021				C 12 April 2023 @ synuat141 synuat141 v 🗙
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE						
	SI STATUS					
	LC MAKER: ~ APPROVED	LC CHECKER: V APPROVED	GC APPROVED: ~ APPROVED	CP APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
	Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA	NA

Field	Description
LC Maker	Indication that LC Transaction Balance Input Only User has approved or
	rejected the instruction or the instruction is pending amendment by LC
	Transaction Balance Input Only User
Reason	Reason for GC rejection input by LC Transaction Balance Input Only User
LC Checker	Indication that LC Transaction Balance Input Authorise User has approved
	or rejected the instruction or the instruction is rejected back to LC
	Transaction Balance Input Only User for amendment
Reason	Reason for LC rejection input by LC Transaction Balance Input Authorise
	User
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
СР	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status:
	- CSUB – cancelled – revoked SI by counterparty
	- CANS – cancelled – SI/STI purged
	- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled
	for STI

Field	Description
	- MTCH – matched
	<ul> <li>CYCL – matched – payment validated</li> </ul>
	- CAIS – pending for transfer
	- CVAL – matched – RDP shares on hold
	- PREA – matched – matched on hold or counterparty instruction on hold
	<ul> <li>NCRR – unmatched – settlement currency unmatch</li> </ul>
	<ul> <li>DSEC – unmatched – stock code/ISIN unmatch</li> </ul>
	- DQUA – unmatched – quantity unmatch
	- CMIS – unmatched – no possible matching SI found
	- OTHR – unmatched – other
	<ul> <li>FRAP – unmatched – payment instruction unmatch</li> </ul>
	- PODU – unmatched – possible matching SI but not earmarked as pairs
	- SAFE – unmatched – client A/C no. unmatch
	- DMON – unmatched – money value unmatch
	- DDAT – unmatched – settlement date unmatch
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
Reason	Indicated reason for CCASS unmatched status:
	<ul> <li>NCRR – settlement currency unmatch + description</li> </ul>
	<ul> <li>DSEC – stock code/ISIN unmatch + description</li> </ul>
	- DQUA – quantity unmatch + description
	<ul> <li>CMIS – no possible matching SI found + description</li> </ul>
	- OTHR – other + description
	<ul> <li>FRAP – payment instruction unmatch + description</li> </ul>
	- PODU – possible matching SI but not earmarked as pairs + description
	- SAFE – client A/C no. unmatch + description
	<ul> <li>DMON – money value unmatch + description</li> </ul>
	<ul> <li>DDAT – settlement date unmatch + description</li> </ul>
	- DELN – transaction direction unmatch + description
	Note: "Description" next to unmatched status refers to the value provided by
	counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.5.2 Sell Side

# 7.5.2.1 Exchange Participant (EP)

H	KEX Synapse					🖴 12 April 2023 @ synual211 synual211 🗸 🔀
+ Bao	K Settlement Instruction Details Trade ID: 68553	24604182231				
KEY	SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
	SI STATUS					
	CP APPROVED: ~ APPROVED	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:	
	Reason:	Reason:	Reason:	Reason:	Reason:	
	NA	NA	NA	NA	NA	

Field	Description
СР	Indication that CP has approved or rejected the instruction

Field	Description
Reason	Reason for CP rejection
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCRR – unmatched – settlement currency unmatch - DSEC – unmatched – stock code/ISIN unmatch - DQUA – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatch - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatch - DMON – unmatched – settlement date unmatch - DDAT – unmatched – settlement date unmatch - DELN – unmatched – transaction direction unmatch
Reason	<ul> <li>Indicated reason for CCASS unmatched status:</li> <li>NCRR – settlement currency unmatch + description</li> <li>DSEC – stock code/ISIN unmatch + description</li> <li>DQUA – quantity unmatch + description</li> <li>CMIS – no possible matching SI found + description</li> <li>OTHR – other + description</li> <li>FRAP – payment instruction unmatch + description</li> <li>PODU – possible matching SI but not earmarked as pairs + description</li> <li>SAFE – client A/C no. unmatch + description</li> <li>DMON – money value unmatch + description</li> <li>DDAT – settlement date unmatch + description</li> <li>DELN – transaction direction unmatch + description</li> <li>Note: "Description" next to unmatched status refers to the value provided by counterparty.</li> </ul>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.5.2.2 Clearing Participant (CP)

HKEX Synaps The Power of Connectivity.	e Details Teade ID: 685513	24503102231			•	🖻 12 April 2023 @ synual281 synual281 - 🗙 🗶
KEY SETTLEMENT DETAILS	SETTLEMENT STAT	US SI HEALTH CHECK TRANSACTION	N REFERENCES AND LIFECYCLE			
CP MAKER: ~ APPROVEL Reason: NA		CP CHECKER: ~ APPROVED Resson: NA	GC APPROVED: ~ APPROVED Reason: NA	LC APPROVED: -/ APPROVED Reason: NA	CCASS STATUS: SETTLED Researce NA	CANCELLATION STATUS: Reason: NA

Field	Description
CP Maker	Indication that CP Transaction Balance Input Only User has approved or
	rejected the instruction or the instruction is pending amendment by CP
	Transaction Balance Input Only User
Reason	Reason for CP rejection input by CP Transaction Balance Input Only User
CP Checker	Indication that CP Transaction Balance Input Authorise User has approved
	or rejected the instruction or the instruction is rejected back to CP
	Transaction Balance Input Only User for amendment
Reason	Reason for CP rejection input by CP Transaction Balance Input Authorise
	User
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CCASS Status	Indicated reason for CCASS status:
	- CSUB – cancelled – revoked SI by counterparty
	- CANS – cancelled – SI/STI purged
	- CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled
	for STI
	- MTCH – matched
	- CYCL – matched – payment validated
	- CAIS – pending for transfer
	- CVAL – matched – RDP shares on hold
	- PREA – matched – matched on hold or counterparty instruction on hold
	- NCRR – unmatched – settlement currency unmatch
	- DSEC – unmatched – stock code/ISIN unmatch
	- DQUA – unmatched – quantity unmatch
	- CMIS – unmatched – no possible matching Si tound
	FRAD unmatched novment instruction unmetch
	- PRAF – unmatched – payment instruction unmatch
	- SAFE – unmatched – client A/C no. unmatch
	- DMON – upmatched – money value upmatch
	- DDAT – unmatched – settlement date unmatch
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
Reason	Indicated reason for CCASS unmatched status:
	- NCRR – settlement currency unmatch + description
	- DSEC – stock code/ISIN unmatch + description
	- DQUA – quantity unmatch + description
	- CMIS – no possible matching SI found + description
	- OTHR – other + description

Field	Description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description - SAFE – client A/C no. unmatch + description
	- DMON – money value unmatch + description
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + description
	Note: "Description" next to unmatched status refers to the value provided by
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.6 Health Check

Health Check is an additional business validation of settlement instructions that Synapse performs after receiving the settlement instruction (e.g., SI, STI, and SSTI) from DTCC. If the business validation results in non-fatal error(s), then Health Check will display the failure reason, but settlement instruction processing can still continue.

Health Check functionality is the same for both buy side and sell side participants. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from buy side participants.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

HKEX Synapse The Power of Connectivity.				🖻 19 August 202	12 @ synuat003 synuat003 🗸 🔀
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
DASHBOARD					
SETTLEMENT INSTRUCT	ON S 🗉	FUND PROFILES + New Fi	ind	NOTIFICATIONS	
5 Allocation Received		O Awaiting AM Checker Approval		Funds (6) PREVIEW V	
3 Processing in Synapse		O Awaiting GC Approval		Participants (0)     PREVIEW      ▼	
1 Unmatched		O Awaiting LC Approval		Relationships (0) PREVIEW	
0 Matched				CCASS Exceptions (0) PREVIEW	
1 Settled				♦ SIs (132) PREVIEW ▼	
O Cancelled					

2. On the Settlement Instructions tab, the AM participant can go to a specific settlement instruction's detail view and go to the SI Health Check tab.

HKEX The Power of C	Synaps	e													e	12 April 3	2023 (\$ synuat001	synuat001 🗸 🗙
	Dashboar	rd		Settlement In:	structions			ru	nds		Relationships		Market Data				Reports	
Settlement Ins	tructions																	
SETTLEME	NT INSTRU	ICTIONS		10 Processi	6 ing Unmatch	0 International Matche	7 d Settle	7 d Cancelled									Q. Sear	ch Generate Report
INS TYPE ~ T	FUND ID - + 882231	CNE1000030 59	QUANTITY ~ * 22.312	CNY	NT CURRENCY		4.065.97	MENT AMOUNT ** 7.07	TYPE * DELI	PAYMENT MO	DE ** FUND ACCOUNT AT GC 542231	DTCCSELLXXX	2231094155771021	GC	-	CP	STATUS	DETAILS >
SI	882231	CNE100003059	2,231	CNY			4.055.97	7.97	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-		DETAILS
SSTI	111444	CNE100003059	2,102	CNY			4.055.97	7.07	DELI	DVP	140001		000000075519085	-	-	-		DETAILS >
SI	882231	CNE100003059	29,625	CNY			4,055.97	7.07	DELI	OVP	542231		2119994155771021	-	-	-		DETAILS >
SSTI	552734	CNE100003059	92,200	ONY			4,085,97	7.07	DEU	OVP	542734		2034100011076872	~	~	-	Sotted	DETAILS >
STI	882231	CNE100003059	29,627	CNY			4,055,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
STI	882231	CNE1000030.59	29,627	CNY			4,085,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
SSTI	552734	CNE100003059	92,200	CNY			4,055,97	7.07	DELI	DVP	542734		2034206011076672	~	~	-	Settled	DETAILS >
si	682231	CNE100003059	29,622	CNY			4,055,97	7.07	DELI	DVP	542231		2119994155771021	1	× .	-	Unmatched	DETAILS
SI	882231	CNE100003059	29,626	CNY			4,055,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	-	Unmatched	DETAILS
51	882231	CNE100003050	29,623	ONY			4,055,97	7.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
SI	882231	CNE100003059	29,621	ONY			4,055,97	7.07	DELI	OVP	542231		2119994155771021	1	~	-	Unmatched	DETAILS
SI	882231	CNE1000030.59	29,624	CNY			4,065,97	7.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
SI	882231	CNE100003059	29,621	CNY			4,055,97	7.07	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS
SI	882231	CNE100003059	29,622	CNY			4,055,97	7.07	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS
SI	882231	CNE100003059	29,624	CNY			4,055,97	7.07	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS
SI	582231	CNE100003059	29,623	CNY			4,055,97	7.07	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS
SI	882231	CNE100003059	29,626	CNY			4,055,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	1	1	~	Settled	DETAILS >
STI	882231	CNE100003059	29,627	ONY			4,055,97	7.07	DELI	OVP	542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS >
STI	882231	CNE100003059	29,627	CNY			4,055,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	×	~	Cancelled	DETAILS >
STI	882231	CNE100003059	22,312	CNY			4,085,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	~	Settled	DETAILS >
SI	882231	CNE100003059	29,625	CNY			4,055,97	7.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
SI	582231	CNE100003059	2,231	CNY			4,055,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	~	Setted	DETAILS
SI	552775	CNE100003059	2,775	CNY			4,055,97	7.07	DELI	DVP	543008	DTCCSELLXXX	3008994155771021	1	1	~	Settled	DETAILS
SSTI	111444	CNE100003059	2,102	CNY			4,055,97	7.07	DEU	OVP	140001	DTCCSELLXXX	000000075519031	-	~	-		DETAILS
SI	555550	CNE100003059	2,765	CNY			4,055,97	7.07	DELI	DVP	6998887		9360000044076693	~	~	-	Cancelled	DETAILS >
SSTI	111444	CNE100003059	2.102	CNY			4.065.97	7.07	DELI	OVP	140001	DTCCSELLXXX	000000075819032	-	×	-		DETAILS >
										revious < > No								

- 3. The display table will show if the settlement instruction passed or failed the health check.
  - a. (i) For AM

If the settlement instruction passes the health check, then the AM participant will see "Health Check Passed".

HKEX Syn The Power of ConnectM • Dack Sottlement Inste	apse h: ruction Details Trade ID: 30089941557	771021			•	🖻 12 April 2023 🕼 synual001 synual001 - 🇙
KEY SETTLEMENT DE	TAILS SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE			
SI HI	EALTH CHECK:					
0	HECK		STATUS	SUDMITTED VALUE	COUNTERPARTY VALUE	
~	15IN		Health Check Passed			
~	Settlement Date		Health Check Passed			
	Counterparty ID		Health Check Passed			

## (ii) For GC and LC

Health check provides additional business validation on EP's account at CP. If the settlement instruction passes this health check, then the GC and LC participant will see "Health Check Passed".

HKEX Syn The Power of Connectivi	apse hr. ruction Details Trade ID: 6171230310	123001				🛱 62 August 2024 @ synutto71 synutto71 - 🗙
KEY SETTLEMENT DE	TAILS SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE			
SI HI	EALTH CHECK:					
c	неск		STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE	
	18IN		Health Check Passed			
	Settlement Date		Health Check Passed			
0	ounterparty ID					
	EP's account at CP		Health Check Passed			
9 HI 0 0 0 0 0 0 0 0	EALTH CHECK: HECK ' IBN Sattement Date outsterparty ID EP's account at CP		STATUS Health Clock Planed Health Check Planed Health Check Planed Health Check Planed	BUGMITTED VALUE	COUNTERPARTY VALUE	

b. (i) For AM

If the settlement instruction fails the health check, then the AM participant will see the specific reason.

HKEX Synapse The Power of Connectivity. • Dack. Settlement Instruction Details Trade ID: 223109415	5771021				🖬 12 April 2023 (\$ symult01 symul001 = 🗙
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE			
SI HEALTH CHECK:					
CHECK		STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE	
A ISIN		ISIN Invalid	CNE001010888		
▲ Settlement Date		Settement Date Invalid	2821-06-05		
A Counterparty ID		Potential Counterparty Missigned	C10016	801110	

(ii) For GC and LC

Health check provides additional business validation on EP's account at CP. If the settlement instruction fails this health check, then the GC and LC participant will see "EP's account at CP is empty".

HKEX Synapse The Power of Connectivity. - Back Settloment Instruction Details Trade ID: 6171230902	150034		a 10.34y 2024 (@ symusicities symusicities symusicities and the symusicities of the symultaneous of the sy					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION REFERENCES AN STATUS	D LIFECYCLE BUBMITTED VALUE	COUNTERPARTY VALUE					
✓ ISIN ✓ Settlement Date	Health Check Passed Health Check Passed		-					
Counterparty ID EP's account at CP	EP's account at CP is empty	-	-					
Field Name	Failure Beesen F	vemele						
	Failure Reason E	Xample N but the rest of t	he ISIN cannot be recognized by					
	CCASS							
Settlement Date	Settlement Date of	the SN is < admi	ssion date of the ISIN or >= delisted					
	date of the ISIN							
Counterparty	It is only applicable	e when both buy a	nd sell sides are onboarded to					
. ,	Synapse, I.e. wher	n Svnapse receive	es a pair of SN from buy side and					
	sell side which are joined by the same LITL. The purpose of this							
	souptorporty ID bo	olth shock is to pr	avide on early elect to Synamo					
	counterparty ID he							
	users that such pa	ir of settlement ins	struction may not be possible to					
	match in CCASS.	Using below as ar	n example to illustrate the scenario					
	that will trigger the	health check war	ning message "Potential					
	Counterparty Misa	ligned":						
	Setup for this pai	r of SN joint by t	<u>he same UTI</u>					
	Synapse LC user's	S CCASS Participa	ant ID = C00040					
	Synapse CP user's	s CCSAS Particip	ant ID = C00016					
	Submitted value	auoted on the bu	v side SN in the REAG/DEAG					
	block = C55555	1	,					
	The CCASS partie	cinant ID of the r	olovant Clearing Particinant (CP)					
	of the cell side SN isolated by the same UTL = 000040							
	of the sell side Si	a jointed by the s						
	Under this scenario	o. bv referrina to t	he account stated on the sell side					
	SN joined by the s	ame LITL the buy	side should be facing C00016 as					
	the Clearing Partie	inant (CP) for this	narticular pair of sottlement					
		apant (CF) 101 this						
	Instruction. Howev	er, in the buy side	SN REAG/DEAG DIOCK, IT IS					
	quoted as facing C	555555 as counter	party at CCASS level. In this					
	situation, health ch	eck warning mes	sage will be triggered.					
EP's account at	It is only applicable	e to buy-side instru	uction when investment manager					
CP	counterparty data	(i.e., EP's Accoun	t at CP) is not present in the SN.					
	Under this scenario	o, Synapse will sti	Il create the SI with empty client					
	account number of	r processing refere	ence sending to CCASS for					
	matching and settl	ement processing	. These 2 CCASS fields in C3T will					
	be shown as below	v in C3T:						
	Client Account	nt Number <sup>.</sup> "" <b>OP</b>						
	Processing F	keierence: SYN-						
	The I C could upo	late the "Client A	account Number" and					
	"Processing Befg		noodod It is recommanded to insuit					
	FIDCESSING Refe							
	tnese missing field	s for operational e	efficiency.					

Field Name	Failure Reason Example
	Before matching Northbound Stock Connect transactions with an EP/broker for the first time, investment managers should ensure with their EP/broker that the EP/broker maintains correct and up to date Standing Settlement Instruction (SSI) data in DTCC systems. Having correct EP/broker SSI maintained in DTCC systems is precondition for a smooth and efficient settlement experience in Synapse and CCASS. Investment Managers facing EP/broker who are not sure on whether their SSI data is setup correctly, should ask their EP/broker to contact DTCC to investigate.

4. Even if the settlement instruction does not pass the health check, the settlement instruction can still be approved.

# 7.7 Transaction References and Lifecycle

Transaction References and Lifecycle shows the major events of an instruction. Timestamp is provided

IKEX Synap	se			🗄 19 August 2022 🍙 synuat003 synuat003 🗸 🄰					
SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE						
TRANSACTION REFER	ENCES		TRANSACTION LIFECYCLE						
шт	549300TX43WBI B9JH788256576803	340723298158503940392565	STATUS 🗠	TIMESTAMP		EFERENCE			
BUY-SIDE TRADE ID	0100001701011020001200200070000	2565768034072329	Global Custodian Approved	2022-08-18 21:28:11	SynComp511				
SELL-SIDE TRADE ID	SELL-SIDE TRADE ID	8158503940392565	Allocation Received and Settlement Instruction Initiated (Buy side)	2022-08-18 21:28:04	HKEX				
			Global Custodian Approved	2022-08-18 20:51:46	SynComp511				
			Allocation Received and Settlement Instruction Initiated (Buy side)	2022-08-18 20:51:40	HKEX				

Field	Description
UTI	Universal Trade Identifier associated with a unique pair of matched allocation
Buy-side Trade ID	Buy-side assigned trade ID created from DTCC
Sell-side Trade ID	Sell-side assigned trade ID created from DTCC

#### **Transaction References**

#### **Transaction Lifecycle**

Once the instruction arrives Synapse, the transaction lifecycle will show "Allocation Received and Settlement Instruction Initiated (Buy / Sell side). Subsequently, it will show the approval / rejection status of different Synapse Users of the buy or sell side to reflect the approval / rejection activity. Once the complete buy / sell side have approved the instruction and the instruction has transmitted to CCASS, it will show "Unmatched (without any unmatched reason code)" immediately, and Synapse will enquire any unmatched reason from CCASS regularly for displaying in the transaction lifecycle. Finally, Matched and Settled status will also be shown here.

Prior to "Settled" status, the instruction can also be cancelled subsequently via different ways, such as cancellation SN sent from DTCC by AM / EP, cancelled / revoked by CP / LC in CCASS. The cancellation activity will be reflected in the transaction lifecycle.

Field	Description
Status	Descriptive status of where the instruction is in processing. Examples include: - Allocation Received and Settlement Instruction Initiated (Buy side) - Allocation Received and Settlement Instruction Initiated (Sell side) - Global Custodian Approved - Global Custodian Rejected - Local Custodian Approved

Field	Description
	- Local Custodian Rejected
	- Clearing Participant Approved
	- Clearing Participant Rejected
	- Cancelled
	- Corporate Action – Conversion
	- Manual Amendment
	- Pending Cancellation
	- Cancelled (Revoked CP SI)
	- Cancelled (SI/STI Purged)
	- Cancelled (SI/STI Revoked or SI Deleted)
	- Matched
	- Unmatched (Settlement currency unmatched)
	- Unmatched (Stock code/ISIN unmatched)
	- Unmatched (Quantity unmatched)
	- Unmatched (No possible matching SI found)
	- Unmatched (Without any unmatched reason code)
	- Unmatched (Without any unmatched reason code)
	- Unmatched (Payment Instruction Unmatched)
	- Unmatched (Possible Matching SI but not earmarked as pairs)
	- Unmatched (Client A/C No. Unmatched)
	- Unmatched (Money Value Unmatched)
	- Unmatched (Money Value Unmatched)
	- Unmatched (Settlement Date Unmatched)
	- Unmatched (Instruction Type Unmatched)
	- Matched (RDP Payment Validated)
	- Pending for Transfer (Stock Segregated Account Transfer Instructions)
	- Matched (On-hold by Counterparty)
	- Matched (RDP Shares On-hold)
	- Matched (On-hold)
	- Settled
	- CCASS Rejection (Buy side)
	- CCASS Rejection (Sell side)
Timestamp	The date and time of each transaction activity
	Note: The timestamp shown on UI is indicating the Hong Kong Time
	(UTC+8); while the API fetching result is indicating the Universal Time
	(UTC+0).
User	System UID of the approver of each activity. Visibility of this field is
	dependent on the acting participant, e.g., a GC participant will only be able
	to see the approval/rejection actions taken by a GC and cannot see any
	actions taken by other participants, e.g., AM, LC, etc.
Party	Party of the approver of each activity.
	Participants will be able to see what actions are taken by HKEX
Reference	Always blank and reserved for the future use to show unique message
	reterence tor ISO20022 message generated (this information is only
	available to ISO message users). Visibility of this field is dependent on the
	acting participant, e.g., a GC participant will only be able to see the
	approval/rejection actions taken by a GC and cannot see any actions taken
	by other participants, e.g., AM, LC, etc. Synapse Users using GUI / API can
	ignore this field.

# 8. Relationships

The Relationships tab shows how participants relate to one another and provides additional entity details.

Participants can see how they relate to one another and view additional entity details. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

Power of Connectivity.				Notifications	- 🖶 06 April 2022 🛞 Synuat39 User	ು
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
HBOARD						
SETTLEMENT IN STRUCTION S		FUND PROFILES + New Fund	NO	TIFICATIONS		
5 Allocation Received		O Awaiting AM Checker Approval	A Fi	unds (2) REVIEW +		
2 Processing in Synapse		O Awaiting GC Approval	A P. PR	tarticipants (0) REVIEW 👻		
1 Unmatched		1 Awaiting LC Approval	R R	telationships (0) REVIEW 👻		
0 Matched			A C	CASS Exceptions (0)		
2 Settled			4 S	ils (33)		
0 Cancelled						

2. On the Relationships tab, the participant can view their relationships between their related participants

HKEX The Power of		ose			🖶 14 June 2022 🕃 sy	nuatoo1 synuatoo1 🗸 💢
Dash	board	Settlement Instructions	Funds	Relationships	Market Data	Reports
	ASSET MAN OFFICE OUT OPERATOR	AGER MIDDLE SOURCING				
0	GLOBAL CU	STODIANS:	LOCAL CUSTO	DIANS:		
	SynComp512	DETAILS	SynComp522	DETAILS		
	SynComp511	DETAILS	SynComp521	DETAILS		
	SynComp511	DETAILS	SynComp521	DETAILS		
	SynComp511	DETAILS	SynComp521	DETAILS		
	SynComp511	DETAILS	SynComp521	DETAILS		
	SynComp511	DETAILS	SynComp521	DETAILS		

3. The participant can click on 'Details' to see additional entity details:



Field Name	Description
Name	The Legal Entity name of the entity
Role Type	Role of the entity
LEI	Legal Entity Identifier for the entity
BIC	Depository Business Identification Code
DN	Distinguished Name Code for the entity

Below are the relationship screens for each participant type.

# 8.1 Buy Side

#### Asset Manager (AM) – who does not appoint AMOO

On the Relationships tab, the AM participant can view the relationships between buy side participants, e.g., GC and LC.

r of Connectivity.				🖻 14 June 2022 (🖲 syn	nuat001 symuat001
Dashboard Set	tlement Instructions	Funds	elationships	Market Data	Reports
ASSET MANAGE OFFICE OUTSOU OPERATOR					
GLOBAL CUSTO	DIANS:	LOCAL CUSTODI	ANS:		
SynComp512	DETAILS	SynComp622	DETAILS		
SynComp511	DETAILS -	SynComp521	DETAILS		
SynComp511	DETAILS	SynComp521	DETAILS		
SynComp511	DETAILS -	SynComp521	DETAILS		
SynComp511	DETAILS	SynComp521	DETAILS		

#### Asset Manager (AM) – who appoints AMOO

On the Relationships tab, the AM participant can view the relationships between buy side participants, e.g., GC, LC, and AMOO if an AMOO has been appointed by the AM.

	apse			🗄 15 June 2022 🕃 sy	rnuat011 synuat011 →
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
ASSET M/ OFFICE O OPERATO	ANAGER MIDDLE UTSOURCING				
SynComp55	6 DETAILS				
GLOBAL	CUSTODIANS:	LOCAL CUST	ODIANS:		
SynComp51	II DETAILS	SynComp521	DETAILS		
SynComp51	DETAILS	SynComp522	DETAILS		
SynComp51	11 DETAILS	SynComp521	DETAILS		
SynComp51	11 DETAILS	SynComp522	DETAILS		
SynComp5	II DETAILS	SynComp521	DETAILS		
SunCompE					

## Asset Manager Middle Office Outsourcing Operator (AMOO)

If the AMOO is being has appointed by multiple AM, then the AMOO can choose which AM to act as and sees the same as what the relevant AM would see.

The AMOO can click the participant dropdown in the top right corner and then click "Act as Different Identity" to change which AM they act as. They can choose to act as any AM that has appointed them or as themselves as AMOO.

When the AMOO is acting as themselves, they will see the below page.

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	ACTING AS:
ASSET MA	NAGERS:	GLOBAL CL	JSTODIANS:	LOCAL	A Identity: AM Outsourcin CI Operator
SynComp502	2 DETAILS	SynComp511	DETAILS	SynComp521	<ul> <li>Function 1: Data Manager</li> <li>Role Type: Input-Only</li> <li>Function 2: SYN User</li> <li>Role Type: Input-Only</li> <li>Usepout</li> </ul>

HKEX Synaps	se		🖻 25 August 202	22	🕲 synuat391 synuat391 🗸 💢
Dashboard S	ettlement Instructions	Funds	Relationsh	Act As:	Reports
ASSET MANAG SynComp502	SERS:	GLOBAL C	USTODIANS: DETAILS	Q Search SynComp502 ✓ SynComp556	L CUSTODIANS: DETAILS

When the AMOO is acting as an AM, they will see the below page.



HKEX The Power of	Synar Connectivity.	ose		☐ 25 August 2022    Acti	ng As: SynComp502 🌱 🍙 ç	synuat391 synuat391 ⇒	C
Dash	board	Settlement Instructions	Funds	Relationships	Market Data	Reports	
	ASSET MAN	AGER MIDDLE SOURCING					
	SynComp556	DETAILS					
1	ASSET MAN	AGERS:	GLOBAL CU	JSTODIANS:	LOCAL C	USTODIANS:	
	SynComp502	DETAILS	SynComp511	DETAILS	SynComp521	DETAILS	

## **Global Custodian (GC)**

On the Relationships tab, the GC participant can view the relationships between buy side participants, e.g., AM and LC.

HKEX Syna The Power of Connectivity.	pse	🖶 14 June 2022 🕃 sy	ynuat071 synuat071 🗸 🚶		
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
ASSET MAN	AGERS:	LOCAL CUSTO	DIANS:		
SynComp502	DETAILS -	SynComp521	DETAILS		
SynComp501	DETAILS -	SynComp521	DETAILS		
SynComp501	DETAILS -	SynComp521	DETAILS		
SynComp501	DETAILS -	SynComp521	DETAILS		
SynComp502	DETAILS -	SynComp521	DETAILS		
SynComp501	DETAILS -	SynComp521	DETAILS		
SynComp502	DETAILS -	SynComp522	DETAILS		
SynComp501	DETAILS -	SynComp521	DETAILS		

## Local Custodian (LC)

On the Relationships tab, the LC participant can view the relationships between buy side participants, e.g., AM and GC.

HKEX Syna The Power of Connectivity.	pse			🖶 14 June 2022 🕃 sy	/nuat141 synuat141 v 💢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
ASSET MAN	AGERS:	GLOBAL CUST	TODIANS:		
SynComp501	DETAILS -	SynComp511	DETAILS		
SynComp501	DETAILS -	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS -	SynComp511	DETAILS		
SynComp501	DETAILS -	SynComp511	DETAILS		
SynComp501	DETAILS -	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS -	SynComp511	DETAILS		

# 8.2 Sell Side

## Exchange Participant (EP) – who does not appoint EPOO

On the Relationships tab, the EP participant can view the relationships between sell side participants, e.g., CP and EP

					SynComp531
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
					Identity: Exchange Participar
EXCHANGE MIDDLE OF	E PARTICIPANT				Function 1: Transaction-Balance
OUTSOUR	CING OPERATOR				Role Type:
EXCHANGE	E PARTICIPANTS:	CLEARING F	ARTICIPANTS:		Eunction 2
SynComp531	DETAILS	SynComp541	DETAILS		SYN User
SynComp531	DETAILS	SynComp179	DETAILS		Input-Authorize
		1			<ul> <li>Function 3 : Data Manager</li> </ul>
Syncomposi	DETAILS -	SynComp333	DETAILS		Role Type: Input-Authorize
					(I)Lenout

# Exchange Participant (EP) – who appoints EPOO

On the Relationships tab, the EP participant can view the relationships between sell side participants, e.g., CP, EP, and EPOO if an EPOO has been appointed by the EP.

HKI The Pow	EX Syna	ipse			🛱 25 August 2022 🕃 sy	muat221 synuat221 🗸 🚶
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports
	EXCHANGI MIDDLE OF OUTSOUR	E PARTICIPANT FICE CING OPERATOR				
	SynComp562	DETAILS				
	EXCHANG	E PARTICIPANTS:	CLEARING F	PARTICIPANTS:		
	SynComp532	2 DETAILS	SynComp541	DETAILS		
			Inbox - Outlook	k Data File - Outlook		

## Exchange Participant Middle Office Outsourcing Operator (EPOO)

If the EP has appointed an EPOO, then the EPOO chooses which EP to act as and sees the same as what the relevant EP would see.

The EPOO can click the participant dropdown in the top right corner and then click "Act as Different Identity" to change which EP they act as. They can choose to act as any EP that has appointed them or as themselves as EPOO.

When the EPOO is acting as themselves, they will see the below page.





When the EPOO is acting as an EP, they will see the below page.





Clearing Participant (CP) – who does not appoint AO On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP and CP.

					SynComp541
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
					Clearing Participant
ACCOUN	TOPERATOR				Function 1:
CLEARIN	G PARTICIPANTS:	EXCHAN	GE PARTICIPANTS:		Role Type:
SynComp5	41 DETAILS -	SynCom	D531 DETAILS		Eunction 2
					Data Manager
					Role Type: Input-Authorize
					Function 3 : SYN User
					Role Type:
					input-Hutilonite

# Clearing Participant (CP) – who appoints AO

On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP, CP, and AO if an AO has been appointed by the CP.

ower of connectivity.					Organization: SynComp542
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
					Clearing Participant
ACCOUNT OP	ERATOR				Function 1 : SYN User
CLEARING PA	RTICIPANTS:	EXCHANGE P	ARTICIPANTS:		Role Type: Input-Only
SynComp542	DETAILS				Function 2 : Transaction-Balances
					Role Type: Input-Only
					Function 3 : Data Manager
					Role Type: Input-Only
					்Logout

#### Account Operator (AO)

If the CP has appointed an AO, then the AO chooses which CP to act as and sees the same as what the relevant CP would see.

The AO can click the participant dropdown in the top right corner and then click "Act as Different Identity" to change which CP they act as. They can choose to act as any CP that has appointed them or as themselves as AO



HKEX S	Synapse			e 26	August 2022 © Acting As: SynComp55	1 🗸 ) synual351 synual351 🗸 🔰	ς
Das	hboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports	
	CLEARING PARTI	ICIPANTS:	EXCHANGE PART	TICIPANTS:			
	SynComp542	DETAILS	SynComp531	DETAILS			

When the AO is acting as an CP, they will see the below page.

				🗎 26 August 2022 ⊕ Acting As:	synuat351 synuat351     Grganization:     SynComp551
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
					ldentity: Account Operator
HBOARD					SYN User
SETTLEMENT INSTRUCTIONS	•	ACCOUNTSE		NOTIFICATIONS	Role Type: Input-Only
0				Accounts (2)	Eurotion 2 :
Allocation Received				PREVIEW	Role Type: Input-Only
O Processing in Synapse				Participants (0)     PREVIEW	<ul> <li>Function 3 :</li> </ul>
0					Role Type: Input-Only
Unmatched				Relationships (0) PREVIEW	( <sup>1</sup> )Legant
0				• 00400 Eventing (0)	0
Matched				PREVIEW -	
0				SIs (0)	
Settled				PREVIEW -	
Cancelled					





# 9. Market Data

Market Data allows buy side and sell side participants to see the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK). There is the functionality to export the stock list to CSV format.

Market Data functionality is the same for both buy side and sell side participants. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Market Data tab, the AM participant can view the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK).

Dashboard	Settlement Instruct	bns	Funds	Relationship	S	Market Data	Reports
Market Calendar: Dowr	nload in PDF Form	at from HKEX web	site		Securities for Stor	k Connect Northbound Mar	ket 🛛 Export
ch	Shanghai Market (MA	MK)		<u> </u>	She	nzhen Market (SZMK)	
STOCK NAME & ISIN	۵	STOCK CODE &		STOCK	≜ ISIN △	STOCK CODE =	
SEMICONDUCTOR(BEIJING) CNE INC	100003059	93986	~	SHANGHAI PUDONG	CNE000000WM5	70825	
SHANGHAI PUDONG DEVELOPMENT BANK CO	100000RJ0	91288	~	BANK CO.,	41		
				TENCENT HOLDINGS	CNE000009N6	70028	4

3. The AM participant can export the Stock List to CSV format by clicking the "Export" button.

Column	Description
stockCode	Stock code
isinCode	ISIN code; ISIN is the International Securities Identification Number. It
	can be used as a unique identifier for a stock
stockShortName	Short form of the stock name
marketCode	Indicated the stock market:
	- SZMK – Shenzhen Market
	- MAMK – Shanghai Market
listedDate	The date that the stock is listed
delistedDate	The date that the stock is delisted

# 10. Reports

Synapse offers participants the ability to export all its accessible data (e.g. Funds, Accounts, Settlement Instruction and Market Data) in CSV format.

# **10.1 Synapse Reports**

HKEX Synapse The Power of Connectivity.				Notifications	
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
Daily Audit Trails				2021-0	* EXPORT TO CSV
E Statement of Holdings					* FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIP	PTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A T	INVESTOR ID A T	SPSA ACCOUNT A T	SUBSCRIPTION DATE	7	STATUS A
REPORT TEMPLATES					
Template SCV with RDP Payment Mode				VIEW FILTER	DELETE + EXPORT TO CSV
				<ul> <li>VIEW PILTER</li> </ul>	DELETE + EXPORT TO CAV

#### **10.1.1 Daily Audit Trail**

On the Reports tab, Synapse users can access a daily audit trail for all activities related to them (Funds, Accounts, and Settlement Instructions) in the form of a CSV. The daily audit trail report will be made available at the start of the day to show the previous day's system and user activities. Please note activities related to report download (e.g. SOH subscription / report template creation) and the mapping of outsourcing service provider will not be captured in the Daily Audit Trail.

1. On the Reports tab, the buy side and sell side participant can select a date for which they want to see the daily audit trail via the calendar dropdown.

HKEX Synapse				Notification:	s - 😁 06 April 2022 @ Synuat39 User 🗸 💢
Dashboard	Settlement Instructions	Funds	Relationships N	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021	eses 🝵 + EXPORT TO CSV
				2021 Sat, Ju	■ FILTER & EXPORT
				< Su Mo	June 2021 > Tu We Th Fr Sa
STATEMENT OF HOLDING REPORT SUBSC	RIPTIONS				
PARTICIPANT NAME	INVESTOR ID A 🔻	SPSA ACCOUNT A 🔻	SUBSCRIPTION DATE	· · · · · · · · · · · · · · · · · · ·	16 19 17 18 19 USA
					22 23 24 26 29
REPORT TEMPLATES					
Template SCV with RDP Payment Mode				VIEW FILTER	DELETE + EXPORT TO CSV
Template Funds with Fund Domicile HK				VIEW FILTER	DELETE + EXPORT TO CSV

a. Note: 31 calendar days' worth of audit trail reports are available for selection

# 2. The participant will click "Export to CSV" to download.

HKEX Synapse The Power of Connectivity.			2	Notification	ons 🖿 06 April 2022 (2) Synual39 User 💢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				20	21:08:05 😁 + EXPORT TO CSV
≡ Statement of Holdings					= FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUB	SCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT A T	SUBSCRIPTION DATE * 1	*	STATUS =
Tampista SCV with DDD Dymani Mode					
Template SCV with RDP Payment Mode Template SUV with RDP Payment Mode				VIEW FILTER	DELETE + EXPORT TO CSV
in rempose runus with Fund Domicle HK.				<ul> <li>VIEW FILTER</li> </ul>	DELETE + EXPORT TO CSV
AuditLogs (8).csv					Show all X

Column	Description			
Timestamp	Date/time when the transaction was recorded (in HKT)			
	Information to be displayed for different type of records:			
	For SN - maps to CTM Transaction Identification			
Identification	For SCV - maps to UTI			
Identification	For Entity - maps to BIC/PID			
	For Fund - maps to Fund ID and Fund Account at GC			
	For Account - maps to Acct EP at CP			
	Indicated the sub-categories of the record			
	For Settlement Processing			
	- Settlement Notification Received (Buy side)			
	- Settlement Notification Received (Sell side)			
	- SCV Created (Buy Side) SCV Created (Sell Side)			
	- GC Approved			
	- LC Approved			
	- CP Approved			
	- GC Rejected			
	- LC Rejected			
	- CP Rejected			
	- Synapse Rejected (Buy Side)			
	- Synapse Rejected (Sell Side)			
Message Type	- SCV Cancelled (Buy Side)			
	- SCV Cancelled (Sell Side)			
	- Input SI Request (Buy Side)			
	- Input SI Request (Sell Side)			
	- Unmatched - OTHR (Buy Side)			
	- Unmatched - OTHR (Sell Side)			
	- Unmatched - SAFE (Buy Side)			
	- Unmatched - SAFE (Sell Side)			
	- Unmatched - DSEC (Buy Side)			
	- Unmatched - DSEC (Sell Side)			
	- Unmatched - DELN (Buy Side)			
	- Unmatched - DELN (Sell Side)			
	- Unmatched - FRAP (Buy Side)			
	- Unmatched - FRAP (Sell Side)			

Column	Description
	- Unmatched - DQUA (Buy Side)
	- Unmatched - DQUA (Sell Side)
	- Unmatched - DMON (Buy Side)
	- Unmatched - DMON (Sell Side)
	- Unmatched - DDAT (Buy Side)
	- Unmatched - DDAT (Sell Side)
	- Unmatched - DCUR (Buy Side)
	- Unmatched - DCUR (Sell Side)
	- Unmatched - NPOS (Buy Side)
	- Unmatched - NPOS (Sell Side)
	- Unmatched - PMNE (Buy Side)
	- Unmatched - PMNE (Sell Side)
	- Unmatched - LIRNA (Buy Side)
	- Unmatched - URNA (Sell Side)
	- Matched - MTCH (Buy Side)
	Matched - MTCH (Soll Side)
	Sottlad SETD (Buy Side)
	- Settled - SETD (Buy Side)
	- Settled - SETD (Sett Side)
	- Calicelleu - CANI (Buy Side)
	- Cancelled (CD) COUD (Dury Cide)
	- Cancelled (CP) - CSUB (Buy Side)
	- Cancelled (CP) - CSOB (Sell Side)
	- Shares on Hold - CVAL (Buy Side)
	- Shares on Hold - CVAL (Sell Side)
	- Payment Validated - CYCL (Buy Side)
	- Payment Validated - CYCL (Sell Side)
	- Matched On-Hold - PREA (Buy Side)
	- Matched On-Hold - PREA (Sell Side)
	- Pending for Transfer - CAIS (Buy Side)
	- Pending for Transfer - CAIS (Sell Side)
	- Counter Party Instruction On-Hold - PRCY (Buy Side)
	- Counter Party Instruction On-Hold - PRCY (Sell Side)
	- Cancelled - CANS (Buy Side)
	- Cancelled - CANS (Sell Side)
	For Participant Onboarding
	- New Active GC Entity
	- New Active LC Entity
	- New Active AM Entity
	- New Active EP Entity
	- New Active CP Entity
	- New Active AMOO Entity
	- New Active EPOO Entity
	- New Active AO Entity
	- Entity Details Amended
	- Entity Status Amended
	For Fund Onboarding
	- New Fund Created
	- New Fund Profile Approved by GC
	- New Fund Profile Approved by LC
	- New Fund Profile Rejected by GC
	- New Fund Profile Rejected by LC
	- LC-Reappointment Approved by GC
	- LC-Reappointment Approved by LC

Column	Description
	- LC-Reappointment Rejected by GC
	- LC-Reappointment Rejected by LC
	- Fund Details Amended
	- Fund Status Changed
	- Fund Profile Status Changed
	For Account Onboarding
	- New Account Created
	- New Account Approved by CP
	- New Account Rejected by CP
	- Account Status Changed
	Description of the record. Please note for message types related to
	Fund / Account Onboarding, both maker ID and checker ID will be
Details	shown. For message type related to Settlement Processing, only entity
	ID will be shown.
	Indicated the categories of the record
	- Settlement Processing
Category	- Participant Onboarding
	- Fund Onboarding
	- Account Onboarding
Party	The company name of the entity who triggered the record
Audit Log Date	Date of the audit log generated

## 10.1.2 Statement of Holdings

On the Reports tab, only buy side participants can download the Statement of Holdings in the form of CSV file. By on-boarding a fund onto Synapse, the relevant LC is taken to have authorized that (1) the Statement of Holdings in relation to the fund on-boarded onto Synapse in accordance with instructions from the relevant AM and GC can be provided to or through Synapse from time to time; and (2) the relevant LC, AM and GC can download such Statement of Holdings from Synapse following the steps set out in this section.

#### **Buy Side**

1. On the Reports tab, the buy side participant can click "Filter & Export" to create a filter for the Statement of Holdings.

HKEX Synapse The Power of Connectivity.					22 March 2022 @ Synual40 User 🗸 💢	c
Dashboard	Settlement Instructions	Funds	Relationships	Market Data		
REPORTS						
SYNAPSE REPORTS						
Daily Audit Trails     Statement of Holdings	FILTER TO CREATE REPORT: Statement of Holding			Clear Filters and Close	EXPORT TO CSV     FILTER & EXPORT	
STATEMENT OF HOLDING REPORT SU PATTCHART MARE ** CP0000_Symposity ** REPORT TEMPLATES	Der: 				+ NEW SUBSCRIPTION	

- 2. The buy side participant will select a date via the calendar dropdown and the investor ID(s) they want to select.
  - a. Note: 31 calendar days are available for selection
  - b. Note: the Investor ID list is based on the Statement of Holdings subscription that was created.

HKEX Synapse					2 March 2022 @ Synual40 User — 🂢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
an Daity Audit Trails					+ EXPORT TO CSV
III Statement of Holdings	FILTER TO CREATE REPORT: Stat	lement of Holding		Clear Filters and Close Export	* FILTER & EXPORT
	Date:				
STATEMENT OF HOLDING REPORT SL	2021-06-09				+ NEW SUBSCRIPTION
PARTICIPANT NAME * * CP00909_SynapseAM 12208796e545e3	Investor IDs: Enter or Select All that Apply:				Edit Unsubscribe
	O <sup>AJ</sup> 300013				
REPORT TEMPLATES					

3. If the incorrect date or incorrect investor ID(s) were selected, then the buy side participant can click "Clear Filters and Close" to remove any selections.

4. When the correct date and investor ID(s) have been selected, the buy side participant then clicks "Export" to download the Statement of Holdings into CSV file.

Column	Description			
partId	Participant ID			
	Indicated the stock market:			
	- HKMK – Hong Kong Market			
	- SZMK – Shenzhen Market			
marketCode	- MAMK – Shanghai Market			
stockAccountCode	Stock account code			
	Investor ID for the Fund. The field Is a unique number assigned to each			
	SPSA account by HKEX			
investorld	Investor ID is also known as "SPSA ID" in CCASS			
	Indicate the currency used:			
	- HKD – Hong Kong Dollar			
	- CNY – Chinese Yuan			
currencyCode	- USD – United States Dollar			
exchangeRate	Exchange rate			
	International Securities Identification Number. It can be used as a			
iSIN	unique identifier for a stock			
	Indicated the stock balance is positive or negative:			
	- Blank = 0 or positive balance			
signOfStockBalance	- '*' = negative balance			
	Indicated the stock value is positive or negative:			
	- Blank = 0 or positive balance			
signOfStockValue	- '*' = negative balance			
stockAccountBalance	Balance of stock account			
stockAccountValue	Value of stock account			
stockCode	Stock Code			
stockReferencePrice	Reference price of the stock			
	Indicated whether the stock is with CA conversion:			
	- Blank = Stock without CA conversion at day end			
stockWithCAConversion	- '*' = Stock with CA conversion at day end			
	Indicated whether the stock is with CA conversion:			
	- Blank = Stock without CA conversion at day end			
stockWithCAConversion2	- '*' = Stock with CA conversion at day end			

## 10.1.2.1 Subscribe to Statement of Holding Report

Only buy side participants, e.g., AM, AMOO, GC, and LC, can create a Statement of Holding report subscription. If the AMOO is performing SOH subscription for a specific AM, both AMOO and that specific AM (provided that the AM has also opted for ISO connectivity channel) will receive the SOH via ISO connectivity channel.

#### **Buy Side**

#### Buy Side Data Manager Input Only User

1. On the Reports tab, the Buy Side Data Manager Input Only User clicks "+ New Subscription" and adds the date from which the subscription would begin and select investor ID(s).

HKEX Synapse				<ul> <li>Notification</li> </ul>	is - 🖻 22 March 2022 @ Synuat40 User - 🂢
Dashboard Settlem	ent Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
III Daily Audit Trails					ethnese export to CSV
III Statement of Holdings	SUBSCRIBE TO STA Powe provide the following information Subscription Start Date:	TEMENT OF HOLDING REPORT:			FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS	2023 08-05				+ NEW SUBSCRIPTION
PARTICIPANT NAME ** CP00008_SynapseAM: 122087/6e65se36:4b1c1488a84f9/22a03	Investor IDs Enter or Select All that Apply:				ATUS - Edit Unsubscribe
REPORT TEMPLATES	0 44			Cancel SUBMIT	

a. Note: participants will only see investor IDs that are relevant to themselves, i.e. Investor IDs of active fund profiles belonged to the participants.

Databased     Settement of Holdings     Part of Mark     Reading of Mark     Re	HKEX Synapse The Power of Connecctivity.				🖶 22 March 2022 @ Synual40 User 🗸 🗙
SYNAPSE REPORTS       SYNAPSE REPORTS       Statement of Holdings       STATEMENT OF HOLDING REPORT SUBSCRIPTIONS       Mathematical Synapsendard       Corposition Synapsendard       REPORT TEMPLATES	Dashboard Settleme	t Instructions Funds	Relationships	Market Data	Reports
SYNAPSE REPORTS	REPORTS				
	SYNAPSE REPORTS EDuby Audit Train EDuby Audit Train Statement Of Houlows RePORT SUBSCRIPTIONS MATICIPANT NAME CONTROL MATICIPANT NAME REPORT TEMPLATES	SUBSCRIBE TO STATEMENTOP Mar use for Manage Management Sector State Management Market State Management Sector State St	FHOLDING REPORT.	Cancer. Businer	COMPARTING CSV     FILTER & EXPORT

When the participant click the drop down, the participant will see a list of investor IDs that are relevant to themselves. They can select which investor IDs in particular they want to subscribe the Statement of Holding Report.



- 2. The Buy Side Data Manager Input Only User clicks "Submit".
- 3. A new row is created in the Statement of Holding Report Subscriptions table with the status "Pending approval".

#### Buy Side Data Manager Input Authorise User

1. On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending approval".
| Dashboard       Settlement Instructions       Funds       Relationships       Market Data       Rep         REPORTS       SYNAPSE REPORTS       2021-06-05       Image: Construction of Holdings       Image: Constructi | HKEX Syna<br>The Power of Connectivity. | ose                     |                  |               | 🗄 14 June 2022 🕃     | ) synuat003 synuat003 🗸 🚶 |
|--|---|-------------------------|------------------|---------------|----------------------|---------------------------|
| REPORTS SYNAPSE REPORTS Daily Audit Trails Daily Audit Trails Statement of Holdings Tetre a Statement of Holding REPORT SUBSCRIPTIONS  | Dashboard                               | Settlement Instructions | Funds            | Relationships | Market Data          | Reports                   |
| SYNAPSE REPORTS  | REPORTS                                 |                         |                  |               |                      |                           |
| E Daily Audit Trails 2021-66-05 C EXPORT<br>Statement of Holdings FILTER &<br>STATEMENT OF HOLDING REPORT SUBSCRIPTIONS + NEW SUBSC  | SYNAPSE REPORTS                         |                         |                  |               |                      |                           |
| E Statement of Holdings FILTER &   | $\equiv$ Daily Audit Trails             |                         |                  |               | 2021-06-05           | The EXPORT TO CSV         |
| STATEMENT OF HOLDING REPORT SUBSCRIPTIONS + NEW SUBSC  | $\equiv$ Statement of Holdings          |                         |                  |               |                      |                           |
| + NEW SUBSU  | STATEMENT OF HOLDING                    |                         | ONS              |               |                      |                           |
| PARTICIPANT NAME A TINVESTOR ID A TISPEA ACCOUNT A TISUBSCRIPTION DATE A TISTATUS A  | PARTICIPANT NAME                        |                         | SPSA ACCOUNT 4 7 |               | STATUS A             | + NEW SUBSCRIPTION        |
| SynComp501         300013         80000001         2021-06-05         Pending Approval         × Reject         < Appr   | SynComp501                              | 300013                  | 80000001         | 2021-06-05    | Pending Approval × I | Reject 🗸 Approve          |

- 2. They can either click "Reject" or "Approve".
  - a. If Buy Side Data Manager Input Authorise User clicks "Approve", then the Statement of Holding report subscription is approved and will start on the date provided by the Input Only User. The Statement of Holding report will be distributed to the Buy Side participants since the subscription date through the channel(s) the participant connected to Synapse such as ISO and/or API. In any cases, Buy Side participants can also download the Statement of Holding report via UI since the subscription date as well.

HKEX Syna	pse	S		🗎 15 June 2022 🕃 sy	nuat003 synuat003  ~
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
PORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV
$\equiv$ Statement of Holdings					<b>〒 FILTER &amp; EXPORT</b>
STATEMENT OF HOLDIN	G REPORT SUBSCRIPTION	s			
		SPSA ACCOUNT A *		STATUS 🗠	
SynComp501	300013	80000001	2021-06-05	Edit	Unsubscribe

b. If Buy Side Data Manager Input Authorise User clicks "Reject", then the subscription process will be ended.

### Asset Manager Middle Office Outsourcing Operator (AMOO)

AMOOs can either act as AM or as themselves when perform Statement of Holding report subscription.

#### AMOO Acting as AM

AMOO can choose to act as AM. The AMOO Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and select to act as an AM from the participant dropdown in the top right corner.



AMOO can proceed with the above process to subscribe to Statement of Holding report.

### AMOO Acting as AMOO

The AMOO can also choose to act as themselves for subscription of Statement of Holding Report.

### AMOO Data Manager Input Only User

1. The AMOO Data Manager Input Only User logs in to Synapse as themselves.





 On the Reports tab, the AMOO Data Manager Input Only User will select the subscription start date and choose the identity, e.g., "Asset Manager", and the participant name. The AMOO Data Manager Input Only User can select individual AM or all of the AMs. a. Note: selecting all of the AMs means that the AMOO wants to subscribe to the statements of holding for all of the organizations for which they are acting as.

Dashboard Settleme			🗂 15 June 2022 @ Acting As: Syn	Comp556 👋 🕃 synuat391 synuat391 🗸 🔀
	nt Instructions	Funds Relationships	Market Data	Reports
EPORTS				
SYNAPSE REPORTS				
Daily Audit Trails			2021-	⊫05
E Statement of Holdings				▼ FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID * *	SPSA ACCOUNT 4 Y	SUBSCRIPTION DATE	STATUS 🛎
REPORT TEMPLATES				
HKEX Synapse			es 16 han once es àction às e	Com556 Y @ concept@4.com
The Power of Connectivity.			🗂 15 June 2022 🐨 Astang AS. Syn	langest la synuat391 synuat391 V
Dashboard Settleme	nt Instructions	Funds Relationships	Market Data	Reports
EPORTS	SUBSCRIBE TO STATEME	INT OF HOLDING REPORT:		
SYNAPSE REPORTS	Subscription Start Date:			
Daily Audit Trails	2021-06-05		2021	S6.05 👛 🛧 EXPORT TO CSV
E Statement of Holdings		Colord		✓ FILTER & EXPORT
	Select Organization: O All	Select		
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME 4 *	Investor IDs:			STATUS &
	All O Between      Specific Investor Ids			
			Cancel SUBMIT	
REPORT TEMPLATES				
HKEX Synapse			🖛 15. Juno 2022 😐 Acting As: Svi	Comp556 × 101 cumuat301 cumuat301 v 🍸
Dashboard Settlemen	SUBSCRIBE TO STATEME	INT OF HOLDING REPORT:	ata ata	Reports
EPORTS	Please provide the following information:			
	2021-06-05 M			
SYNAPSE REPORTS			202	
SYNAPSE REPORTS			2001	16-05 CEXPORT TO CSV
SYNAPSE REPORTS E Daily Audit Trails E statement of Holdings	Select Identity: O All	Asset Manager		SE-05
SYNAPSE REPORTS == Daily Audit Trails == Statement of Holdings	Select Identity: O All Select Organization: O All	Asset Manager SynComp502	· ·	K65
SYNAPSE REPORTS E Daily Audit Traits E Statement of Holdings STATEMENT OF HOLDING REPORT SUBSCRIPTIONS	Select Identity: All Select Organization: All	Asset Manager SynComp502	· · ·	
SYNAPSE REPORTS E Daily Audit Traits E Statement of Holdings STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPANT NAME = "	Select Mantifiy: All Select Organization: All Investor IDs: Enter or Select Al that Apply:	Asset Manager BymComp602		EXPORT TO CSV      FLTER & EXPORT      NEW SUBSCRIPTION  STATUS
SYNAPSE REPORTS III Daily Audit Trails III Statement of Holdings STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPANT NAME - *	Select Mentify: All Select Organization: All Investor IDs: Editor or Select All that Apply: All Selecters Select Selection Sel	Asset Manager SynComp502		KEW SUBSCRIPTION     STATUS -
SYNAPSE REPORTS = Daily Audit Toxis = Statement of Holdings STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPANT NAME = ~	Seleci Manstay: An Seleci Organization: An Investor (De): Exter or Seleci An Dar Appy: Call or Seleci An Dar Appy: Ann: Seleci Call Dar Appy: Seleci Call	Asset Manager SynComp502		KEW SUBSCRIPTION     STATUS -
SYNAPSE REPORTS = Daily Audit Trais = Statement of Holdings STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPANT NAME = "	Select Manstay: An Select Organization: An Investor Ob: Exter or Select An Dur Appy: An Ann Select An Dur Appy: Torong Torong	Asset Manager SynComp502	Cancer UUWIT	KEW SUBSCRIPTION     STATUS -
SYNAPSE REPORTS = Daily Audit Tails = Statement of Holdings STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPART NAME - ~	Select Manstay: An Select Organization: An Investor Ob: Exter or Select AI Dir Appy: And Balance & Select Res Pro- Select Res Control Control of Control Notice Toxing Control Control of Control of Control Notice Toxing Control Object Control of Control of Control Notice Toxing Control Object Control of Control of Control Notice Toxing Control Object Control of Control of Control of Control Notice Toxing Control Object Control of Control of Control of Control of Control Notice Toxing Control of Control	Asset Manager SynComp502	Cancel SUBNIT	KEW SUBSCRIPTION     STATUS >
SYNAPSE REPORTS  Daily Audit Trais  Statement of Holdings  STATEMENT OF HOLDING REPORT SUBSCRIPTIONS  PARTICIPANT NAME +  REPORT TEMPLATES	Seleci Manstay: Ar Seleci Organization: Ar Investor Ob: Exter or Seleci AR De: Appy: Article Seleci AR De: Appy: Article Seleci Ar De: Appy: Article Seleci Ar De: Appy: Seleci Ar De: Appy: Toronit	Aset Vanager BymComp502	Cancel BUOMT	KEW SUBSCRIPTION     STATUS -

- 3. The AMOO Data Manager Input Only User can select all investor IDs related to them by choosing 1 out of the 3 radio buttons:
  - a. All Selecting "All" to apply to all investor IDs related to them.

- b. Between Selecting "between" and providing x and y parameters means that the investors between x and y, inclusive, will be selected.
- c. Specific Investor IDs Selecting "Specific Investor IDs" to select one or multiple investor IDs.
- 4. The AMOO Data Manager Input Only User clicks "Submit".
- 5. A new row is created in the Statement of Holding Report Subscriptions table with the status "Pending approval".

### AMOO Data Manager Input Authorise User

- 1. On the Reports tab, the AMOO Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending approval".
- 2. AMOO Data Manager Input Authorise User can either click "Reject" or "Approve".
  - a. If AMOO Data Manager Input Authorise User clicks "Approve", then the Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. The Statement of Holding Report will be distributed to AMOO since the subscription date through the channel AMOO connected to Synapse, such as ISO. In any cases, AMOO can also download the Statement of Holding report via UI since the subscription date as well.
  - b. If AMOO Data Manager Input Authorise User clicks "Reject", then the subscription process will be ended.

HKEX Synapse The Power of Connectivity.				🗎 14 June 2022 ④ synuat003 synuat003 🗸 💢		
Dashboard Se	ttlement Instructions	s Funds	Relationships	Market Data	Reports	
REPORTS						
SYNAPSE REPORTS						
$\equiv$ Daily Audit Trails				2021-06-05		
$\equiv$ Statement of Holdings					<b>₹ FILTER &amp; EXPORT</b>	
STATEMENT OF HOLDING RE	EPORT SUBSCRIPTIC	ONS			+ NEW SUBSCRIPTION	
		SPSA ACCOUNT A =		STATUS		
SynComp501	300013	80000001	2021-06-05	Pending Approval × I	Reject 🗸 Approve	

### 10.1.2.2 Unsubscribe from Statement of Holding Report

Buy side participants can choose to unsubscribe the Statement of Holding Report if consider the information is not necessary.

#### **Buy Side**

### Buy Side Data Manager Input Only User

1. On the Reports tab, the Buy Side Data Manager Input Only User clicks "Unsubscribe" in the relevant row in the Statement of Holding Report subscription table

HKEX Synap	ose			🖶 25 August 2022 🖲 sy	rnuat011 synuat011 🗸 🚶
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
$\equiv$ Daily Audit Trails				2021-06-05	
$\equiv$ Statement of Holdings					➡ FILTER & EXPORT
STATEMENT OF HOLDING	REPORT SUBSCRIPTIONS	3			+ NEW SUBSCRIPTION
		SPSA ACCOUNT A 7		STATUS 🗅	
SynComp502	300013	8000001	2021-06-05	Edit	Unsubscribe

2. The Buy Side Data Manager Input Only User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending Approval (Unsubscribe)"

HKEX Synapse The Power of Connectivity			🗎 25 August 2022 ③ synuat011 synuat011 🗸 🌖		
Dashboard Se	ettlement Instructions	Funds	Relationships	Market Data	Reports
EPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV
$\equiv$ Statement of Holdings					FILTER & EXPORT
STATEMENT OF HOLDING R	EPORT SUBSCRIPTIC	ONS		+	NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT A 7		STATUS 🗠	
SynComp502	300013	80000001	2021-06-05	Pending Approval (Unsubscribe)	

#### Buy Side Data Manager Input Authorise User

 On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending Approval (Unsubscribe)"

HKEX Syna The Power of Connectivity.	pse	5		🖶 15 June 2022 🕃 s	ynuat003 synuat003 🗸 🚶
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
$\equiv$ Daily Audit Trails				2021-06-05	↑ EXPORT TO CSV
$\equiv$ Statement of Holdings					▼ FILTER & EXPORT
STATEMENT OF HOLDIN	IG REPORT SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	* INVESTOR ID * * SPSA			▼ STATUS A	
SynComp501	300013, 300008, 600002 800000	001, BO1451, 80000	002 2021-06-05	Pending Approval (Unsubscribe)	× Reject ✓ Approve

- 2. Buy Side Data Manager Input Authorise User can either click "Reject" or "Approve".
  - a. If Buy Side Data Manager Input Authorise User clicks "Approve", then the Statement of Holding Report unsubscription is approved, the previous subscription record will be removed from the list and the unsubscription will be immediately effective.

HKEX Synapse The Power of Connectivity.			• •	otifications - 🝵 23 March 2022 @ Symuat39 User - 🂢
Dashboard	Settlement Instructions	Funds	Relationships Market Data	Reports
REPORTS				
SYNAPSE REPORTS				
III Daily Audit Trails				atan et es 💼 🕈 EXPORT TO CSV
E Statement of Holdings				* FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTION	NS			+ NEW SUBSCRIPTION
PARTICIPANT NAME * *	INVESTOR ID **	SPSA ACCOUNT ***	SUBSCRIPTION DATE	STATUS -
REPORT TEMPLATES				

b. If Buy Side Data Manager Input Authorise User clicks "Reject", then the unsubscription process will be ended.

### 10.1.2.3 Amend the Subscription to the Statement of Holding Report

If a buy side participant wants to amend a Statement of Holding subscription, then they can update the selection of the Investor IDs. They can select "All" investor ID, select / add new investor ID or remove existing investor ID.

### **Buy Side**

### Buy Side Data Manager Input Only User

1. On the Reports tab, the Buy Side Data Manager Input Only User clicks "Edit" and select investor ID(s).

HKEX Synapse The Power of Connectivity.				🗎 26 Augus	t 2022 @ synuat001 synuat001 🗸 💢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021-08-05	
≡ Statement of Holdings					FILTER & EXPORT
STATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT A T	SUBSCRIPTION DATE	STATUS 🗠	
SynComp501	300013, 600002	80000001, 80000002	2021-06-05	Edit	Unsubscribe
REPORT TEMPLATES					

2. The Buy Side Data Manager Input Only User clicks "Submit".

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 (j) synual001 synual001 🧹 🂢
Dashboard Se	ttlement Instructions Funds Relationships	Market Data Reports
REPORTS	SUBSCRIBE TO STATEMENT OF HOLDING REPORT:	
SYNAPSE REPORTS	Please provide the following information: Subscription Start Date:	
Daily Audit Trails	2021-06-05	2021:08:05
in statement of roomings		• FILTER & EAPORT
	Investor IDs: Enter or Select All that Apply:	
STATEMENT OF HOLDING REPORT SUBSC		+ NEW SUBSCRIPTION
SynComp501	300	Edit Unsubscribe
	Can	SUDMIT
REPORT TEMPLATES		
HKEX Synapse		🖻 26 August 2022 @ synuat001 synuat001 🗸 💢
HKEX Synapse The Power of Connectivity. Dashboard Se	tiement Instructions Funds Relationships	⊟ 26 August 2022 @ synuat001 synuat001 ~ X Market Data <b>Reports</b>
HKEX Synapse The Power of Connectivity: Dashboard Se	ntement Instructions Funds Relationships	E 26 August 2022 @ synuat001 synuat001 -> X Market Data Reports
HKEX Synapse The Power of Connectivity. Dashboard Se REPORTS	Itement Instructions Funds Relationships SUBSCRIBE TO STATEMENT OF HOLDING REPORT:	🖻 26 August 2022 @ synual001 synual001 -> 🗙
HKEX Synapse The Power of Connectivity: Dashboard Se REPORTS SYNAPSE REPORTS = Dath Andrif Forlis	tlamont Instructions Funds Relationships	C 26 August 2022 @ synuat001 synuat001 ~ X Market Data Reports
HKEX Synapse The Power of Connectivity: Dashboard Se REPORTS SYNAPSE REPORTS = Daily Audit Trails = Statement of Holdmas	tomort instructions Funds Relationships	C 26 August 2022 @ synuat001 synuat001 ~ X Market Data Reports
HKEX Synapse The Power of Connectivity: Dashboard Se REPORTS SYNAPSE REPORTS E Daily Audit Trails E Statement of Holdings	ttement inseucedans Funds Relationships	C 26 August 2022  Symuat001 symuat001   Market Data  Reports  C C SV  FILTER & EXPORT TO CSV  FILTER & EXPORT
HKER Synapse The Power of Connectivity: Dashboard Se REPORTS SYNAPSE REPORTS Daily Audit Trails Statement of Holdings	terment invoucedures Funds Relationships	Carlos Contractor Con
HKEEX Synapse The Power of Connectivity: Dashboard Se REPORTS SYNAPSE REPORTS E Statement of Holdings STATEMENT OF HOLDING REPORT SUBSC	Itement Instatutions     Funds     Relationships	26 August 2022 (a) symuation 1 symuation 1       X         Market Data       Reports         2011/00:05       • EXPORT TO CSV         • FILTER & EXPORT         • NEW SUBSCRIPTION
HKEEX Synapse The Power of Connectivity: Dashboard Se REPORTS SYNAPSE REPORTS Edaily Audit Trails Edaily Audit Trails Edaily Audit Trails Statement of Holdings	ttoment instatucians Funds Relationships	26 August 2022 () synuald01 synuald01 ()         Market Data         Reports         () () () () () () () () () () () () () (
HKER Synapse De vouer of Connective; Dashboard Se REPORTS Daliy Audit Trails E Statement of Holdings STATEMENT OF HOLDING REPORT SUBSC PARTICIPANT NAME ** synCompSol	terment insolutions Funds     Control              Control	28 August 2022     Market Data     Reports     • EXPORT TO CSV     • FLTER & EXPORT     • NEW SUBSCRPTION     • NEW SUBSCRPTION
HKER Synapse The Power of Connectively: Dashboard 20 REPORTS SYNAPSE REPORTS Daily Audit Trails Statement of Holdings Statement of Holdings REPort SUBSC PARTICIPANT NAME ** SynCompSol	torment instructions Finds Relationships	26 August 2022 9 ymual001 symual001     Market Data     Reports     • EKPORT TO CSV     • ELER & EXPORT     • NEW SUBSCRIPTION     • ELER & LEXPORT
HKER Synapse Dashboard Connective; Dashboard 20 REPORTS = Daily Audit Trails = Statement of Holdings Statement of Holdings REPORT SUBSC Dastricipant Name ** SynCompSo1	terrer locations Funds Relationships	26 August 2022 9 ymual001 symual001     Market Data     Reports     Image: I
HKER Synapse Determined Connectively: Dashboard 200 REPORTS Daily Audit Trails Daily Audit Trails Statement of Holdings ESTATEMENT OF HOLDING REPORT SUBSC PARTICIPANT NAME ** SynCompSo1	titement instructions Funds Relationships CONSTRUCTION OF COLDING REPORT Constructions Start Date Constructions Start Date Constructions	26 August 2022 9 ymual001 symual001     Market Data     Control  <

3. The row related to that Statement of Holding subscription in the Statement of Holding Report Subscriptions table is updated with the status "Pending Approval (Amend)".

HKEX Synapse The Power of Connectivity.				🖶 26 August 20	122 🕃 synuat001 synuat001 🗸 🚶
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
				2021-08-05	↑ EXPORT TO CSV
					▼ FILTER & EXPORT
STATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID A T	SPSA ACCOUNT A T	SUBSCRIPTION DATE	STATUS A	
SynComp501	300013	80000001	2021-06-05	Pending Approval (Amend)	Unsubscribe
REPORT TEMPLATES					

#### Buy Side Data Manager Input Authorise User

 On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending approval (Amend)".

HKEX Synapse The Power of Connectivity.					🖻 26 August 2022 🕃 synual003 synual003 🗸 🌖
Dashboard	Settlement Instructions	Funds	Relationship	s Market D	ata Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails					2021-08-05 📋 * EXPORT TO CSV
					➡ FILTER & EXPORT
STATEMENT OF HOLDING REPOR	T SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT A T	SUBSCRIPTION DATE	STATUS A	
SynComp501	300013	80000001	2021-06-05	Pending Approval (Amend)	× Reject ✓ Approve
REPORT TEMPLATES					

- 2. Buy Side Data Manager Input Authorise User can either click "Reject" or "Approve".
  - a. If Buy Side Data Manager Input Authorise User clicks "Approve", then the amendment of Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. That means the previous subscription details will be replaced by the new subscription and the participant will no longer receive the Statement of Holding Report based on previous subscription details.

HKEX Synap	ose			🗎 15 June 2022	synuat013 synuat013 ~ X
Dashboard	Settlement Instructions	s Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				2021-06-05	
$\equiv$ Statement of Holdings					₹ FILTER & EXPORT
STATEMENT OF HOLDING	REPORT SUBSCRIPTIO	ONS			+ NEW SUBSCRIPTION
		SPSA ACCOUNT		STATUS A	
SynComp556	300013	8000001	2021-06-05	Pending Approval	
SynComp502	600002	80000002	2021-06-05		Edit Unsubscribe

b. If Buy Side Data Manager Input Authorise User clicks "Reject", then the amendment process will be ended.

### 10.1.3 Day-begin Master SPSA Sellable Balance Report (G29)

On the Reports tab, Asset Managers can download the Day-begin Master SPSA Sellable Balance Report (G29) in the form of CSV file. The sellable balance report will be made available at the start of the day and the relevant AM can download such report from Synapse following the steps set out in this section. Please note the report will be available for retrieval for 31 calendar days.

#### **Asset Manager**

1. On the Reports tab, Asset Manager can click "Filter & Export" to create a filter for the Day-begin Master SPSA Sellable Balance Report (G29).



- 2. Asset Manager can select a date via the calendar dropdown and the Master SPSA ID they want to select via the Master SPSA IDs dropdown list.
  - a. Note: 31 calendar days are available for selection
  - b. Note: The latest Master SPSA ID list will be available for selection .

HKEX Synapse The Power of Connectivity.				🗂 06 January 2025 🏵 symual464 symual464 🗸 💢
Dashboard	Settlement Instructions Funds	Relationships	Market Data	Reports
REPORTS				
SYNAPSE REPORTS				
m Deily Audit Trails				2121-06-05 📇 + EXPORT TO CSV
III Statement of Holdings				✓ FILTER & EXPORT
m Day-begin Master SPSA Seliable Balance Report (G29)				✓ FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTIO	FILTER TO CREATE REPORT: Day-begin Master SPSA Seliable Balance Report (G29)		Clear Filters and Cleas	+ NEW SUBSCRIPTION
PARTICIPANT NAME ***	Date:			STATUS -
REPORT TEMPLATES	NamE that dayay 110m -			

3. When the correct date and Master SPSA ID have been selected, the Asset Manager then clicks "Export" to download the Day-begin Master SPSA Sellable Balance Report into CSV file.

Column	Field Length (Max)	Remark
Master SPSA ID	6	Numeric value
Market Code	4	"ASHR" for Shanghai or "ASZR"
		for Shenzhen
CSC Stock Code	6	Numeric value
CCASS Stock Code	5	Numeric value
Master SPSA ID Sellable Balance	18	Numeric value
SPSA ID	6	Numeric value

SPSA ID Sellable Balance	15	Numeric value
--------------------------	----	---------------

## **10.2 Report Templates**

### 10.2.1 Filters

Synapse offers participants the ability to filter on list view results.

Buy side and sell side participants can apply filtering function on the Settlement Instruction List view. The filters applied can be applied against all fields on the list view and details view. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from the Asset Manager participant on the Settlement Instruction List View.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Settlement Instruction List view, for example, the AM participant can click on the red downward triangle. Clicking the red triangle will create a 'Filters Applied:' box at the top of the screen. Please note the filtering function is applying on top of the SI creation date shown on the SI List View on the top right-hand corner.

HKEX The Power of C	Synaps	e				V									o	3	E 17 A	wii 2023 (	9 synuat001 synu	101001 - 🕽	c
	Dashboar	d	Se	ttloment in	structions			Fi	unds			Relationships		Ma	irket Data				Reports		
Settlement Ins	tructions																				
SETTLEME	NT INSTRU	CTIONS		1	1	0	11	6											Q. Search	Generate Re	port
				Processi	ing Unmatch-	ed Matchee	Settled	Cancelled													
																			2021-06-0	5	8
INS TYPE ***	FUND ID 1	ISIN * T	QUANTITY * T	SETTLEN	ENT CURRENC	YAT:	SETTL	EMENT AMOUN	n - T	TYPE	PAYMENT MODE - *	FUND ACCOUNT AT	T GC 1 T	EP BIC **	TRADE ID **	GC 1 T	LCAT	CPIT	STATUS 4 T		
51	552796	CNE1020030.59	279,000	CNY			4,065,1	977.07		DELI	DVP	542796		DTCCSELLOOX	2790912176091209	~	1	~	Setted	DETAILS )	
51	882231	CNE100003059	29.622	CNY			4,065,9	977.07		DEU	DVP	542231			2119994155771021	1	*	-	Cancelled	DETAILS	
51	552231	CNE10003035	29.621	CNY			4,065,5	977.07		DEU	DVP	542231			2119994155771021	×	-	-	Cancelled	DETAILS >	
SI	882231	CNE101003059	29.623	CNY			4,065,1	977 07		DEU	DVP	542231			2119994155771021	~	~	0.00	Cancelled	DETAILS >	
SI	862231	CNE101013959	29,624	CNY			4,065,3	877.07		DEU	DVP	542231		Constant and the second	2119994155771021	1	-	1.1	Cancelled	OCTAILS .	
51	862231	CNE100003039	29,828	UNY			4,005,1	877.07		DEU	DVP	542231		DICCSELLOOK	2962994155771021	-	~	~	Selled	DETAILS >	
SII	862231	CNE101013239	29.627	CNY			4,005,1	877.07		DEU	DVP	542231		DICCSELDOX	29620941557/1021	~	~	~	Cancelled	OCTAILS >	
511	002231	CNE102023239	29,627	CNY			4,000.5	877.07		DED	DVP	542231		BICCSELLOOK	2902094155771021	1	~		Cancelled	DETAILS >	
511	002231	CNL100023059	22.312	Chr			4,000,1	877.07		DED	DVP	942231		DICUSELLOOX	2231094155771021			~	semed	DETAILS .	
SI	882231	CNE10003059	29,825	CNY			4,005.5	977.03		DEU	DVP	542231			2113934155771021		~		Uninatched	DETAILS	
24	882231	C.NE1000030359	2.231	UNY			4,005.1	u//u/		DED	DAM	942231		DICCSELLOOK	2231994195771921			1	senes	DETAILS	
STI	85/225	CNE100013039	2,225	CNY			4,065,5	977.07		DEU	OVP	542228		DICCSELLOX	2226000044076592		~		Setted	DETAILS >	
511	55/2221	CNE100003038	2,221	GNT			4,005,1	877.07		DED	DAM	542221		DIOUSELDOX	2227000044076582				Setted	BETAILS )	
SII	882245	CNE100003039	22.451	CNY			4,065,1	977.07		DEU	DVP	542245		DICCSELLOCK	2245200044076892	×.	~	~	Selled	OCTAILS >	
511	002245	UNE10003039	22,455	CNY			4,065,5	877.07		UEU	UVP	542245		DIGUSELDOX	2245400044076892	1	~	· · ·	Settied	OCTAILS >	
51	222763	CNE100003039	92,290	CNY			4,005.1	877.07		DEU	DVIP	522763		BICCSELLOOK	2/634941557/1021		-	1		DETAILS	
211	052245	C.NL100003059	22.430	CNU			4,065.5	811.01		DEU	DAN	542245		DIGUSELDOOK	2245000044076592	1		*	Semes	DETAILS	

HKEX S	Synaps mectivity.	e							j.	þ		17 Apr	ni 2023 🏵 synuat	001 synuat001 ~ 💢
	Dashboard		Se	ttlement Instructions	Funds			Relationships	Mai	rket Data			Reports	
Settlement Inst	ructions													
SETTLEMEN	IT INSTRU	CTIONS		1 1 ( Processing Unmatched M	D 11 6 latched Settled Cancelled							Ca	ncel Incologier	n Teng als Grand Angort in Q Pr
FILTERS APPLI	ED :												Clear All Fi	ters + ADD FILTERS
FILTER RESULTS	(19 Rows)						+ Filter on INS TI	(P -						Close
							Operators:							
INS TYPE ***	FUND ID * * \$52795	ISIN *** CNE100003059	QUANTITY * * 279,600	SETTLEMENT CURRENCY **	SETTLEMENT AMOUNT *** 4.065.977.07	TYPE**	O SI O ST	1 O SSTI						
51	882231	CNE100003059	29,622	CNY	4,065,977.07	DELI							-	
51	882231	CNE100003053	29,621	CNY	4,065,977.07	DELI							Citar Monter	
51	882231	CNE1000030.59	29,623	ONY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	- Cancel	ed DETAILS >
51	882231	CNE1000030.53	29,624	ONY	4,065,977.07	DEU	OVP	542231		2119934155771021	~	1	- Cancal	Ind DETAILS >
\$1	882231	CNE100003059	29,626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	1	<ul> <li>Settled</li> </ul>	DETAILS >
STI	882231	CNE1000030.59	29,627	ONY	4,065,977.07	DELI	OVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancel</li> </ul>	led DETAILS >
STI	882231	CNE100003039	29,627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancel</li> </ul>	led DETAILS >
STI	882231	CNE100003059	22,312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
SI	882231	CNE100003039	29,625	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	- Unmail	thed DETAILS >
51	882231	CNE100003059	2,231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
STI	882226	CNE1000030.59	2,226	CNY	4,065,977.07	DELI	DVP	542226	DTCCSELLXXX	2226000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
STI	552227	CNE100003059	2,227	CNY	4,065,977.07	DELI	DVP	542227	DTCCSELLOOX	2227000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS
STI	882245	CNE100003059	22,451	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245200044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
STI	882245	CNE1000030.59	22,453	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245400044076692	1	~	<ul> <li>Settled</li> </ul>	DETAILS
51	222763	CNE100003059	92,200	CNY	4,065,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-	DETAILS
STI	882245	CNE100003059	22,450	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS
STI	882245	CNE100003059	22,452	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245300044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS
STI	882245	CNE100003053	22,455	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245500044076592	~	~	<ul> <li>Settled</li> </ul>	DETAILS >

- 3. The AM participant can click '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the Settlement Instruction List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
  - a. Radial button to select a specific type, e.g. Payment Mode type

					21		0			/ 1				
HKEX The Power of C	Synaps	e										🗖 17 Ap	ril 2023 @ synuat00	synual001 ~ 🔀
	Dashboard		Set	ttlement Instructions	Funds			Relationships	Ma	rket Data			Reports	
Settlement Ins	ructions													
SETTLEME	NT INSTRU	CTIONS		1 1 0 Processing Unmatched Mat	11 6 Iched Settled Cancelled							G	Incel Sever Report on N	Report Report to CIV
FILTERS APPL	IED :												O Clear All Filte	+ ADD FILTERS
FILTER RESULTS	(19 Rows)						+ Filter on PAYMEN Operators:	T MODE -						Close
INS TYPE 4 T	FUND ID 4 T	ISIN A T	QUANTITY - T	SETTLEMENT CURRENCY **	SETTLEMENT AMOUNT 6 7	TYPE * *	I DVP O RE	P O FOP						
SI	882231	CNE100003039	29.622	ONY	4,065,977.07	DEU							Clear ADDIX	
SI	882231	CNE100003059	29,621	CNY	4,065,977.07	DELI							Cital Arres	
SI	882231	CNE100003059	29,623	CNY	4.065.977.07	DEU	DVP	542231		2119994155771021	1	~	- Cancelled	DETAILS
SI	882231	CNE100003059	29,624	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	- Cancelled	DETAILS
51	882231	CNE100003059	29,626	CNY	4,005,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	1	~	<ul> <li>Setted</li> </ul>	DETAILS
STI	882231	CNE100003059	29,627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	1	1	<ul> <li>Cancelled</li> </ul>	DETAILS
STI	882231	CNE100003059	29,627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAILS
STI	882231	CNE100003059	22,312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	1	1	<ul> <li>Settled</li> </ul>	DETAILS
SI	882231	CNE100003059	29,625	CNY	4,065,977.07	DELI	DVP	542231		2115994155771021	~	~	<ul> <li>Unmatche</li> </ul>	DETAILS >
SI	882231	CNE100003059	2,231	CNY	4,095,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	<ul> <li>Setted</li> </ul>	DETAILS >
STI	882226	CNE100003059	2,226	CNY	4,065,977.07	DEU	DVP	542226	DTCCSELLXXX	2226000044076592	1	~	<ul> <li>Settled</li> </ul>	DETAILS
STI	552227	CNE100003059	2,227	CNY	4,065,977.07	DEU	DVP	542227	DTCCSELLXXX	2227000044076592	~	~	<ul> <li>Setted</li> </ul>	DETAILS >
STI	882245	CNE100003059	22,451	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLOOX	2245200044076592	1	1	<ul> <li>Setted</li> </ul>	DETAILS >
STI	882245	CNE100003059	22,453	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245400044076592	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
SI	222763	CNE100003059	92,200	CNY	4,085,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	1	-	-	BCTAILS >
STI	882245	CNE100003059	22,450	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245000044076592	1	~	<ul> <li>Settled</li> </ul>	DCTAILS >
STI	882245	CNE100003059	22,452	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245300044076592	~	~	<ul> <li>Settled</li> </ul>	DCTAILS >
STI	882245	CNE100003059	22,455	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLOOK	2245500044076592	~	~	<ul> <li>Settled</li> </ul>	DETAILS >

b. Date filter wherein specific date(s) can be selected, e.g. today, range, or the last (n) calendar days (April 4, 1900)

HKEX The Power of C	Synaps	e		(					A.	0		E 17 A	pril 2023 -	⊕ synuat001 sy	muat001 ~ 🔀
	Dashboar	1	Se	ttlement Instructions	Funds		Re	lationships	Ma	rket Data				Reports	
Sattlement Incl	tructions														
Settlement ms	auctions														
SETTLEME	NT INSTRU	CTIONS		1 1 0 Processing Unmatched Ma	11 6 tched Settled Cancelled							c	ancel	leve Report on Tempin	to Espect Report to 0 8V
FILTERS APPL	IED :												0.0	lear All Filters	+ ADD FILTERS
FILTER RESULTS	(19 Rows)						+ Filter on SETTLEMENT Operators:	F DATE -							Close
INS TYPE **	FUND ID ^ *	ISIN * *	QUANTITY **	SETTLEMENT CURRENCY **	SETTLEMENT AMOUNT 4	TYPE	😠 Today 🔿 Range	O Last (n) calendar days							
51	\$52796	CNE100003059	279,600	CNY	4,065,977.07	DELI									
SI	882231	CNE100003059	29,622	CNY	4,065,977.07	DELI							Clear	APPLY	
51	882231	CNE100003055	29,621	CNY	4,065,577.07	DELI	202			200000000000000000000000000000000000000				Considered	
51	002231	CNETODODODO	29,623	CITY	4,065,077,07	DEL	CVP CVP	542231		2119994199771021		÷.		Cancelled	DETAILS
	002231	CHE HORSON AN	20,025	CHT CHT	1000,017.07	DEL	CVP	642234	DTCORP. LYNY	2012204100771021				Follow	DETAILS /
STI	882231	CNE100003050	29.627	ONY	4 065 977 07	DELL	DVP	542231	DTCCSELLXXX	2952094155771021		-	-	Cancellad	DETAILS >
STI	882231	CNE100003059	29,627	ONY	4.065.977.07	DELL	ninp	542231	DTCCSELLXXX	2962094155771021		2	2	Cancellad	DETAILS /
STI	882231	CNE100003059	22 312	ONY	4 065 977 07	DELL	DVP	542231	DTCCSFLLXXX	2231094155771021	-	2	5	Settled	OFTAILS )
51	882231	CNE100003059	29.625	ONY	4.065.977.07	DELI	DVP	542231		2119994155771021	1	1	-	Unmatched	DETAILS >
51	882231	CNE1000030 59	2.231	ONY	4.065.977.07	DEU	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	~	Settled	DETAILS >
STI	882228	CNE1000030 59	2.226	CNY	4.005.977.07	DELI	DVP	542226	DTCCSELLXXX	2226000044076692	1	1	1	Settled	DETAILS >
STI	552227	CNE100003059	2.227	CNY	4.005.977.07	DELI	OVP	542227	DTCCSELLXXX	2227000044076892	~	~	1	Settled	DETAILS >
STI	882245	CNE1000030 59	22,451	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245200044076692	~	~	~	Settled	DETAILS >
sm	882245	CNE100003059	22,453	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245400044076592	~	~	~	Settled	DETAILS >
SI	222763	CNE100003059	92,200	CNY	4,065,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	1	-	-		DETAILS >
STI	882245	CNE100003059	22,450	CNY	4,065,977.07	DELI	OVP	542245	DTCCSELLXXX	2245000044076692	~	~	~	Settled	DETAILS
STI	882245	CNE100003053	22,452	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245300044076592	1	~	1	Settled	DETAILS
STI	882245	CNE100003059	22,455	ONY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245500044076692	1	~	~	Settled	DETAILS
						Previo	ous < > Next								

When the user selects "Today"

# When the user selects "Range", please note the from date and to date are exclusive

The Power of Co		e									р		0 17 A	pril 2023 🤃	) synuat001 syn	uat001 ~ 💢
	Dashboard	t	Se	ttlement instruction	19	Funds			Relationships	Ma	rket Data				Reports	
Settlement Inst	ructions															
SETTLEMEN	NT INSTRU	CTIONS		1 1 Processing Unm	0 atched Match	11 6 ed Settled Cancelled							c	ancel 📑	ere Meporf et Tempole	asport mapert to a my
FILTERS APPLI	ED :													o Cle	ar All Filters	ADD FILTERS
FILTER RESULTS	(19 Rows)							+ Alter on SETTLI Operators:	EMENT DATE -							Close
	FUND ID A T	ISIN - T	QUANTITY - *	SETTLEMENT CUR	ENCY - *	SETTLEMENT AMOUNT 4 *	TYPE	🔿 Today 🕚	Range 🔘 Last (n) calendar days							
54	882231	CNE100003059	219,000	CNV		4,000,977,07	DEU	ED.OM						-		
51	882231	CNE1000030.59	29.621	CNV		4 005 977 07	DELL	PROM .								
SI	882231	CNE1000030 S9	29.623	CNY		4.065.977.07	DEU							Clear 🖊	IPPLY	
51	882231	CNE100003059	29,624	CNV		4,065,977.07	DELL	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS >
51	882231	CNE100003059	29,626	CNY		4,055,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	1	1	Settled	DETAILS
STI	882231	CNE100003059	29,627	CNY		4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS
STI	882231	CNE100003059	29,627	CNV		4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS
STI	882231	CNE1000030.59	22,312	CNY		4,065,977.07	DEU	DVP	542231	DTCCSELLXXX	2231094155771021	1	1	~	Settled	DETAILS
51	882231	CNE100003039	29,625	CNY		4,065,977.07	DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
SI	882231	CNE100003059	2,231	CNY		4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	~	Settled	DETAILS >
STI	882228	CNE1000030.59	2,228	CNY		4.065.977.07	DELI	DVP	542226	DTCCSELLXXX	2226000044076892	~	~	~	Settled	DETAILS
STI	552227	CNE100003059	2,227	CNY		4,065,977.07	DELI	DVP	542227	DTCCSELLXXX	2227000044575692	~	~	~	Settled	DETAILS
STI	882245	CNE100003059	22,451	CNY		4,005,977.07	DELI	DVP	542245	DTCCSELLXXX	2245206044076092	~	~	~	Settled	DETAILS
STI	882245	CNE100003059	22,453	CNY		4,055,977.07	DELI	DVP	542245	DTCCSELLXXX	2245400044076692	~	~	~	Settled	DETAILS
51	222763	CNE100003059	92,200	CNV		4,065,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-		DETAILS
STI	882245	CNE100003059	22,450	CNV		4,055,977.07	DELI	DVP	542245	DTCCSELLXXX	2245000044076692	~	1	1	Settled	DETAILS
STI	882245	CNE100003059	22,452	CNY		4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245300044076692	~	~	~	Settled	DETAILS
STI	882245	CNE100003059	22,455	CNV		4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245500044076892	~	~	~	Settled	DETAILS

### When the user selects "Last (n) calendar days"

HKEX S	Synaps	e				Funds         Buildenakys         Market Date           6         a Cantelid         ************************************	þ		© 17 A	oril 2023	3) synuati001 syr	nua1301 ~ 🗙			
	Dashboar		Set	tliement Instructions	Funds			Relationships	Ma	rket Data				Reports	
Settlement Inst	ructions														
SETTLEMEN	NT INSTRU	CTIONS		1 1 0 Processing Unmatched Matc	11 6 hed Settled Cancelled							c	ancel	lave Report so Templel	Caport Report to CBV
FILTERS APPLI	ED :												0.0	ear All Filters	+ ADD FILTERS
FILTER RESULTS	(19 Rows)						+ Alter on SETTLE Operators:	MENT DATE -							Close
INS TYPE * T	FUND ID * *	ISIN 4 T	QUANTITY - T	SETTLEMENT CURRENCY **	SETTLEMENT AMOUNT ***	TYPE	O Today O	Range 🚸 Last (n) calendar days							
51	882231	CNE100003059	29.622	CNY	4,055,977,07	DELL	Value Last (n	calendar daus:							
SI	882231	CNE100003059	29,621	CNY	4,065,977.07	DEU	Enter								
51	882231	CNE100003059	29,623	CNY	4,065,977.07	DEU							Clear	APPLY	
SI	882231	CNE100003059	29.624	CNY	4,065,977.07	DELI	wir.	ancon		2110001100111021				Vanoros	DETAILS /
SI	882231	CNE100003059	29,626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	1	~	Settled	DETAILS
STI	882231	CNE100003059	29,627	CNY	4,065,977.07	DEU	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS
STI	882231	CNE100003059	29,627	CNY	4,065,977.07	DELI	DVP	542231	DTGCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS
STI	882231	CNE100003059	22,312	CNY	4,055,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	~	Settled	DETAILS
51	882231	CNE100003059	29,625	CNY	4,065,977.07	DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
51	882231	CNE100003059	2,231	CNY	4,065,977.07	DEU	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	~	Settled	DETAILS
STI	882226	CNE100003059	2.228	CNY	4,065,977.07	DELI	DVP	542228	DTCCSELLXXX	2226001044976692	~	~	~	Settled	DETAILS
STI	552227	CNE100003059	2,227	CNY	4,065,977.07	DEU	DVP	542227	DTCCSELLXXX	2227601044976692	~	~	~	Settled	DETAILS
STI	882245	CNE100003059	22,451	CNY	4,065,977.07	DELI	DVP	542245	DTGCSELLXXX	2245201044376692	~	~	~	Settled	DETAILS
STI	882245	CNE100003059	22,453	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245401044979692	~	1	1	Settled	DETAILS
51	222763	CNE100003059	92,200	CNY	4,065,977.07	DEU	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-		DETAILS
STI	882245	CNE100003059	22,450	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245001044076892	~	~	~	Settled	DETAILS
STI	882245	CNE100003059	22,452	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245301044978692	~	~	~	Settled	DETAILS >
STI	882245	CNE100003059	22,455	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245501044976692	~	~	~	Settled	DETAILS
						Previo	us < > Next								

c. String filter wherein the participant can enter a string of text on which to filter, e.g. Fund Umbrella name

HKEX The Power of C	Synaps	e				V									0		C 17 A	orii 2023 (	l synuat001 sy	nuat001 ~ 🔀
	Dashboard	ı	Se	ttlement ins	structions			Funds			R	elationships		Ma	irket Data				Reports	
Settlement Ins	tructions																			
SETTLEME	NTINSTRU	CTIONS		1 Processi	1 Unmatche	O Matched	11 Settled	<b>6</b> Cancelled									c	ancel	lava Report en Trengrid	in Report Report in CAV
FILTERS APPL	IED :																	0 C	ear All Filters	+ ADD FILTERS
FILTER RESULT	(19 Rows)									+ Filte	ron FUND NAME Operators:	-								Close
INS TYPE **	FUND ID * *	ISIN * *	QUANTITY - *	SETTLEM	ENT CURRENC	Y - •	SETTLEN	IENT AMOUNT * *	TYPE * *		• Equals O Does	not equal 🔿 Begin	n with O End with O	Contains O Does r	not contain					
s	552795	CNE100003059	279,600	CNY			4,065,977	.07	DELI											
54	882231	CNE100003035	29,622	CNV			4 065 077	.07	DEL		Value Equals: Enter									
51	882231	CNE100003059	29.623	CNV			4 065 977	07	DEU									Clear	APPLY	
51	682231	CNF100003059	29.624	CNY			4 065 977	07	DFU						C HORNE LOUIS INC.				Long December 2	
SI	882231	CNE10003059	29.626	CNY			4.065.977	.07	DEU	DVP		542231		DTCCSELLXXX	2962994155771021	1	1	1	Settled	
sn	882231	CNE10003039	29.627	CNY			4,065,977	.07	DEU	OVP		542231		DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS >
STI	882231	CNE100003059	29,627	CNY			4,065,977	.07	DELI	DVP		542231		DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS >
sn	882231	CNE100003059	22,312	CNY			4,065,977	.07	DEU	DVP		542231		DTCCSELLXXX	2231094155771021	~	~	1	Settled	DETAILS >
SI	882231	CNE100003059	29,625	CNY			4,065,977	.07	DELI	DVP		542231			2119994155771021	~	~	-	Unmatched	DETAILS >
58	882231	CNE100003059	2,231	CNV			4,065,977	.07	DELI	DVP		542231		DTCCSELLXXX	2231994155771021	~	~	~	Setted	DETAILS >
STI	882225	CNE100003059	2,225	CNY			4,065,977	.07	DELI	DVP		542225		DTCCSELLXXX	2226000044076692	1	1	1	Settled	DETAILS
STI	552227	CNE100003059	2,227	CNY			4,065,977	.07	DELI	DVP		542227		DTCCSELLXXX	2227000044076692	~	~	~	Setted	DETAILS >
STI	882245	CNE100003059	22,451	CNY			4,065,977	.07	DELI	DVP		542245		DTCCSELLXXX	2245200044076692	~	~	~	Setted	DETAILS >
STI	882245	CNE1000030.59	22,453	CNY			4,065,977	.07	DEU	DVP		542245		DTCCSELLXXX	2245400044078692	~	~	~	Setted	DETAILS >
51	222763	CNE100003059	92,200	CNY			4,065,977	.07	DEU	DVP		522763		DTCCSELLXXX	2763494155771021	~	-	-		DCTAILS >
STI	882245	CNE100003059	22,450	CNY			4,065,977	.07	DELI	DVP		542245		DTCCSELLXXX	2245000044078692	1	~	~	Settled	DETAILS >
STI	882245	CNE1000030.59	22.452	CNY			4,065,977	.07	DEU	DVP		542245		DTCCSELLXXX	2245300044076092	~	~	~	Settled	DETAILS >
STI	882245	CNE100003059	22,455	CNY			4,065,977	.07	DELI	DVP		542245		DTCCSELLXXX	2245560044076692	~	~	~	Setted	DETAILS >
									Previo	ous <	> Next									

d. Numerical filter wherein the participant can enter an integer on which to filter, e.g. Settlement Amount

HKEX S	Synaps	e		V V					·	2		🖨 17 Apr	ni 2023 @ symuatol	01 synuat001 🗸 💢
	Dashboard		Set	tlement Instructions	Funds			Relationships	Mar	ket Data			Reports	
Settlement Inst	ructions													
SETTLEMEN	NTINSTRU	CTIONS		1 1 0 Processing Unmatched Match	11 6 sed Settled Cancelled							Ce	INCEL ENVERTISES AS	tempale espect report to o
FILTERS APPLI	ED :												O Clear All Fill	ers + ADD FILTERS
ILTER RESULTS	(19 Rows)						+ Alter on SETT	LEMENT AMOUNT -						Close
INS TYPE - *	FUND ID **	ISIN 4 🔻	QUANTITY - *	SETTLEMENT CURRENCY + *	SETTLEMENT AMOUNT	TYPE - *	Equals (	O Does not equal O Greater than or	requal to O Less than or equal to	O Between				
SI	552798	CNE1000030.59	279,600	CNY	4,065,977.07	DEU								
91	602231	CHE100002020	29,022	CNV	4,000,017.07	DEU	4.0d	8						
51	802231	CNE100003059	29,623	CNV	4.005.977.07	DELL							Clear APPLY	
u .	882231	CNE100003059	29.624	CNV	4,065,977,07	DELL								
1	662231	CNE100003059	29,626	CNV	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	1	<ul> <li>Setted</li> </ul>	DETAILS >
TI .	882231	CNE100003059	29,627	CNY	4,065,977.07	DELL	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelle</li> </ul>	d DETAILS >
m.	\$82231	CNE100003059	29,627	CNY	4,065,977.07	DEU	DVP	542231	DTCCSELLXXX	2982094155771021	~	~	<ul> <li>Cancelle</li> </ul>	d DETAILS >
π	882231	CNE100003059	22,312	ONY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	<ul> <li>Sotted</li> </ul>	DETAILS >
	882231	CNE1000030.59	29,625	CNV	4,065,977.07	DEU	DVP	542231		2119994155771021	~	~	- Unmalch	ed DETAILS >
	882231	CNE100003059	2,231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
n	882226	CNE100003059	2.228	CNV	4,065,977.07	DELI	DVP	542228	DTCCSELLXXX	2226303044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
m	552227	CNE100003059	2,227	CNY	4,065,977.07	DELI	DVP	542227	DTCCSELLXXX	2227000044076692	× .	~	<ul> <li>Settled</li> </ul>	DETAILS >
п	882245	CNE100003059	22,451	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245203044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
71	882245	CNE100003059	22,453	CNV	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245403044076692	1	1	<ul> <li>Setted</li> </ul>	DETAILS >
	222763	CNE100003059	92,200	CNV	4,065,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-	DETAILS >
	882245	CNE100003059	22,450	CNV	4,065,577.07	DELI	DVP	542245	DTCCSELLXXX	2245000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
11	882245	CNE100003059	22,452	CNV	4,065,977.07	DEU	DVP	542245	DICOSELLOOX	2245300044076692	~	~	<ul> <li>Setted</li> </ul>	DETAILS >

- 4. After the AM participant adds all of the desired filters, they click 'Apply'.
- 5. All of the desired filters will show on the top of the screen, and the Settlement Instruction List view will show the filtered results.

HKEX Synapse The Power of Consectivity.	e													,	1 17 April 2	023 @ synual001 sy	muat001 - 💢
Dashboard		Settle	ament Instru	uctions			Funds			Relationships		Mar	ket Data			Reports	
Settlement Instructions																	
SETTLEMENT INSTRUC	CTIONS		1 Processing	1 Unmatched	0 Matched	11 6	ancelled								Cance	Deve Trapert as Templa	ele Experi Mapori la C.DV
FILTERS APPLIED : XINS TYP	: SI ×Quantity : (Equa	ale) 92,200														O Clear All Filters	+ ADD FILTERS
FILTER RESULTS (1 Rows)		UANTITY - T	SETTLEMENT	CURRENCY-	-	SETTLEM	INT AMOUNT 4 7	TYPE - *	PAYMENT MODE **	FUND ACCOUNT AT	GC + T	EP BIC + *	TRADE ID	GC * *	LC CI	STATUS	
SI 222763	CNE100033359 92	2,200	CNY			4,065,977)	07	DELI	DVP	522763		DTCCSELLXXX	2763494155771021	×			DETAILS >
								Previou	as < ⇒ Next								

### **10.2.2 Create Report Templates**

Both buy side and sell side participants can create report templates for individual use or for sharing with others.

Create report templates functionality for both buy side and sell side participants is on the Report Feature on the Settlement Instruction List view. The filters applied from the create report template functionality can be applied against all fields on the list view and details view. There is no difference in functionality for either Input Only Users or Input Authorise Users.

The sample screens below are illustrative and are from the Asset Manager participant on the Settlement Instruction List View.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Settlement Instructions, the AM participant can generate a report from the Settlement Instruction List view.

HKI The Pow	EX Syn	apse											<b>i 19</b> .	April 20:	23 @ sj	ynuat0	01 synuat001	~ 🗙
	Dashboa	rd	Settlen	ment Instructio	ons		Funds			Relatio	nships	Mark	et Data			Re	ports	
Settleme	ent Instruction	IS																
	SETTLEM	ENT		4 Processing	2 Unmatched	0 Matched	0 Settled	0 Cancelled	d							Q S	earch Gen	erate Report
		10101 4				CETTI EME		NT A TY			FUND ACCOUNT AT CO.	ER RIC A	TRADE ID 4 7	00.47	1047	202	1-06-05	
SI	552509	CNE100003059	92,200	CNY	URRENUT	4,065,977.0	7	RE	CE DV	/P	542509	EF BIG	1558063279132021	~	~	-	Unmatched	DETAILS
SI	552509	CNE100003059	92,200	CNY		4,065,977.0	7	RE	CE DV	/P	542509		1558063279132022	~	<ul> <li></li> </ul>	-	Unmatched	
SI	882561	CNE100003059	92,200	CNY		4,065,977.0	7	RE	CE DV	/P	542561		5058768034052123	-	×	-		DETAILS
SI	882561	CNE100003059	92,200	CNY		4,065,977.0	7	RE	CE DV	/P	542561		4458768034052123	×	-	-		DETAILS
SI	882511	CNE100003059	2,511	CNY		4,065,977.0	7	DE	LI DV	/P	542511		2511394155771022	-	-	-		DETAILS
SI	552568	CNE100003059	693	CNY		4,065,977.0	7	DE Previ	ious < ⇒	<b>/P</b> ▶ Next	542568		1693994155771021	-	-	-		DETAILS

- 3. The AM participant can click 'Generate Report' from the Settlement Instruction List view, for example, and clicks '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
  - a. Radial button to select a specific type, e.g., Payment Mode type to
  - b. Date filter wherein specific date(s) can be selected, e.g., today, range, or the last (n) calendar days
  - c. String filter wherein the participant can enter a string of text on which to filter, e.g., Fund Umbrella name
  - d. Numerical filter wherein the participant can enter an integer on which to filter, e.g., Settlement Amount
- 4. After the AM participant adds all of the desired filters, they click 'Apply'.
- 5. All of the desired filters will show on the top of the screen, and the List view will show the filtered results.

HKE) The Power of	( Syna of Connectivity	apse	1				4		(A)			🛱 19 <i>1</i>	April 202	23 🖲 synu	al001 synual00	1 - 🗙
	Dashboard	d	Settler	nent Instructio	ns		Funds		Relatio	nships	Market Da	ita			Reports	
Settlement	Instructions	5														
S	ETTLEM	ENT ONS		4 Processing	2 Unmatched	0 Matched	0 Settled	0 Cancelled					Cancel	Save Repo	rt as Template Ea	part Report to CSV
FILTERS AF	PPLIED : XII	NS TYP : SI ×	Quantity : (Eq	juals) 92,200										Clear All	Filters + ADI	FILTERS
FILTER RESU	LTS (4 Rows	)														
INS TYPE - *	FUND ID - *	ISIN	QUANTITY * *	SETTLEMENT CI	URRENCY - *	4 065 977 0	INT AMOU	NT- TYPE -	PAYMENT MODE - *	FUND ACCOUNT AT GC ***	EP BIC - * TRA	DE ID **	GC - ·	LC CP		DETAILS
SI	552509	CNE100003059	92,200	CNY		4 065 977 0	17	RECE	DVP	542509	1556	063279132022	~	× -	Unmatched	DETAILS
SI	882561	CNE100003059	92,200	CNY		4,065,977.0	07	RECE	DVP	542561	5058	768034052123	-	× -		DETAILS
SI	882561	CNE100003059	92,200	CNY		4,065,977.0	07	RECE Previous	DVP	542561	4456	768034052123	×			DETAILS

 The AM participant can select 'Export Report to CSV' to export the filtered results into CSV format. The generated report will show the filtered results and have all of the fields that the AM participant is allowed to see.

- 7. The AM participant can select 'Save Report as Template' to create the report template
  - a. 'Save Report as Template' will require the AM participant to add a name to the template prior to saving. Then the AM participant clicks 'Save' button

HKEX Synapse The Power of Connectivity.													a - 🗴
Dashboard				Funds		Relationship		Market Dat					
Settlement Instructions													
SETTLEMENT	4	4 2	0	0	0					Cancel	Save Report	t as Temptate	xport Report to CSV
	F	rocessing Unm	atched Matche	d Settled	d Cancelled								
FILTERS APPLIED : XINS TYP : 1	il × Quantity : (Equa	SAVE A	S REPOR	TTE	MPLATE:						Clear All F	liters + ADI	DFILTERS
FILTER RESULTS (4 Rows)	OHANTITY + 7 St	Confirming will sa Filters Applie	ave this filtered list a d	as a report t	template, which wil	I be viewable in the Reports tab.			)E ID ÷ 7	GC ≜ ∓ (	G÷∓ CP	STATUS-	
SI 552509 <u>CNE10000</u>	0059 92.200 C1	Quantity :(Equa	als) 92,200					500	063279132021	4 .	-	Unmatched	DETAILS
SI 552509 <u>CNE10000</u> SI 883561 <u>CNE10000</u>	2059 92.200 Ct	Template Nan	ne					500	063279132022		6 <del>-</del>	Unmatched	DETAILS
Si 682561 <u>CNE10000</u>	3039 92,200 C	SI Instruction Typ	pe with 92200 Quar	ntty			Cancel S	AVE	/68034052123	×			DETAILS

b. Once the report template is successfully saved, the report template record is shown under the 'Report Templates' section under 'Reports' tab with a lock icon by default. The lock icon indicates that the report template has not yet been shared to anyone.

HKEX Synapse The Power of Connectivity.					19 April 2023 🕃 synuat001 synuat001 🕤 🄀
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails				202	4645 🗎 🕆 EXPORT TO CSV
≡ Statement of Holdings					₹ FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBS	CRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME **	INVESTOR ID	SP SA ACCOUNT 4 *	SUBSCRIPTION	DATE	STATUS a
REPORT TEMPLATES					
$\equiv$ SI Instruction Type with 92200 Quantity				VIEW FILTER	DELETE

On the 'Report Templates' section under 'Reports' tab, the AM participant can click 'Export to CSV' button to export the filtered results based on the report template into CSV. Once click 'Export to CSV' button, the generated report will show the filtered results and have all of the fields that the AM participant is allowed to see. The report content is based on the latest system records as of the time of report generation.

### **10.2.3 Share Report Templates**

Synapse offers participants the ability to share report templates to other users within the same entity. Share report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:
  - a. Lock icon these are saved report templates accessed by an individual

HKEX Synapse			🛊 Notifications 🗸 🗖 07	January 2022 ④ CP0040_UM 🗸
Dashboard	Settlement Instructions	Funds Relations	ships Market Data	Reports
STATEMENT OF HOLDING REPOR	TSUBSCRIPTIONS			+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT 4 7	SUBSCRIPTION DATE	STATUS +
REPORT TEMPLATES				
SI Instruction Type with 92,200 Quant	ity		a VIEW FILTER DE	LETE TEXPORT TO Cav
<ul> <li>SI Instruction Type with 92,200 Quant</li> <li>SSTI Instruction Type</li> </ul>	iry		VIEW FILTER     DE	LETE

b. People icon – these are saved report templates created and shared with multiple people within same entity

HKEX Synapse The Power of Connectivity.				🌲 Notifications ~ 🗂 07 Jan	uary 2022 ③ CP0040_UM 🗸 🄰
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
SYNAPSE REPORTS					
≡Daily Audit Trails				2022-01-07	The export to csv
≡ Statement of Holdings					<b>⇒</b> FILTER & EXPORT
STATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A 7	INVESTOR ID A 7	SPSA ACCOUNT A 🔻	SUE	BSCRIPTION DATE A F	STATUS 🗠
REPORT TEMPLATES					
≡ SSTI Instruction Type				VIEW FILTER DELET	E ↑ EXPORT TO CSV
≡ SI Instruction Type with 92,200 Quantity	у			& VIEW FILTER DELET	E ↑ EXPORT TO CSV
STI Instruction Type				A VIEW FILTER DELET	E ↑ EXPORT TO CSV

- 3. To share a report template with other users at the entity, the AM participant can click that report's lock icon, which will change to a people icon. The report template will automatically be shared with all other users within the entity, where an additional row will immediately appear in the Report Template section for the rest of the users within that entity.
  - a. Note: If the AM participant does not want to share the report template with other users, the AM participant can click the people icon, which will change back to a lock icon. The report template will not be shared with other users immediately.

### **10.2.4 Delete Report Templates**

Synapse offers participants the ability to delete previously created report templates. Delete report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from the Asset Manager participant.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:

a. Lock icon - these are saved report templates accessed by an individual

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
TATEMENT OF HOLDING REP	ORT SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT 4 7	SUBSCRIPT	TION DATE 4 =	STATUS o
EPORT TEMPLATES					
E SI Instruction Type with 92,200 Qu	antity		â	VIEW FILTER DELE	TE + EXPORT TO CSV
SSTI Instruction Type			÷	VIEW FILTER DELE	
STI Instruction Type			â	VIEW FILTER DELE	TE + EXPORT TO CSV

b. People icon – these are saved report templates created and shared with multiple people within the entity

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
APSE REPORTS					
Daily Audit Trails				2022-01-07	T EXPORT TO CSV
E Statement of Holdings					₹ FILTER & EXPORT
TATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A *	INVESTOR ID A 7	SPSA ACCOUNT A 👻	SUBSCRIPTION	I DATE A 👻	STATUS 🗚
EPORT TEMPLATES					
E SSTI Instruction Type			ê V	VIEW FILTER DELETE	↑ EXPORT TO CSV
SI Instruction Type with 92,200 Quantity	(		<b>a</b> . \	IEW FILTER DELETE	↑ EXPORT TO CSV
E STI Instruction Type			<b>A</b> \	VIEW FILTER DELETE	↑ EXPORT TO CSV

3. The AM participant can click 'Delete' on the row of the specific report template that should be deleted.

Dashboard	Settlement Instructions Func	ts	Relationships	Market Data	Reports
NAPSE REPORTS					
Daily Audit Trails				2022-01-07	↑ EXPORT TO CSV
Statement of Holdings					<b>⇒</b> FILTER & EXPORT
ATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A 7		SPSA ACCOUNT A 🔻	SUBSCRI	PTION DATE A 👻	STATUS 🗠
PORT TEMPLATES					
SSTI Instruction Type			ê	VIEW FILTER DELET	TE ↑ EXPORT TO CSV
SI Instruction Type with 92,200 Quantit	ly .		2.	VIEW FILTER DELET	TE ↑ EXPORT TO CSV
STI Instruction Type				VIEW FILTER DELET	

HKEX Synapse The Power of Connectivity.				🌲 Notifications 🗸 🛅 07 Janu	uary 2022 ③ CP0040_UM 🗸 💢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
≡ Statement of Holdings					▼ FILTER & EXPORT
STATEMENT OF HOLDING REPOR	TSUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A *		SPSA ACCOUNT A 🔻	SUBSCRI	PTION DATE A =	STATUS 🗠
REPORT TEMPLATES					
$\equiv$ SI Instruction Type with 92,200 Quar	tity		±	VIEW FILTER DELETE	↑ EXPORT TO CSV
≡ STI Instruction Type			±.	VIEW FILTER DELETE	↑ EXPORT TO CSV

Note: the report template will be deleted even if it is shared with multiple people within an entity, and such record under the Report Template section will also be removed for all users within that entity upon the deletion. The individuals with who the report is shared will not receive a notification for the deletion of the report template.

# 11. Error Message

In this section, we document the error messages built into Synapse and its business rules, and provide suggestions for catering the message. For examples,

- 1. When encountering the error message "*No action required by your end* **[Category** (*number*)], the participant could refer to the table below to indicate their corresponding use case/scenario for further communication with the checker.
- 2. When encountering the error message "*System busy. Please try again later*.", the participant should wait and resubmit the request later.
- 3. When encountering the error message "Unexpected error encountered. Please contact support. Error reference: **[Trace ID]**.", the participant should capture the Trace ID shown in the error and contact Synapse Support. Further details can be referred in the table below.

Error	Categories	Error Message	Use	Business rules
ID			Case	
1	Unexpected status	No action required	1.1	This error id is encountered due to:
	upon checker	by your end		- Unexpected status Account Profile
	approval/rejection	[Category 1]		Proposal upon checker approval/rejection
			1.2	This error id is encountered due to:
				- Unexpected status Fund Proposal upon
				checker approval/rejection
			1.3	This error id is encountered due to:
				- Unexpected status Fund Data Proposal
				upon checker approval/rejection
			1.4	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon LC Checker approval/rejection
			1.5	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon GC Checker approval/rejection
			1.6	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon GC Reappointment
				approval/rejection
			1.7	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon checker approval/rejection
			1.8	This error id is encountered due to:
				- Unexpected status Fund Profile Proposal
				upon inactivation approval/rejection
			1.9	This error id is encountered due to:
				- Rejecting Fund Profile Proposal not in
				pending approval while status is GC Maker
				Approved or GC Rejected
			1.10	This error id is encountered due to:

Error	Categories	Error Message	Use	Business rules
ID			Case	
				- Rejecting Fund Profile Proposal not in
				pending approval while status is LC Maker
				Approved or LC Rejected
			1.11	This error id is encountered due to:
				- Rejecting Fund Profile Proposal not in
				pending approval or GC Rejected
			1.12	This error id is encountered due to:
				- Unexpected status Variable Fee Proposal
				upon checker approval/rejection
			1.13	This error id is encountered due to:
				- Unexpected status SOH Subscription
				Proposal upon checker approval/rejection
			1.14	This error id is encountered due to:
				- Unexpected status Broadcast Message
				Proposal upon checker approval/rejection
2	Unexpected status	No action required	2.1	This error id is encountered due to:
	upon checker	by your end		- Unexpected status Fund Profile Proposal
	amendment	[Category 2]		upon checker amendment
			2.2	This error id is encountered due to:
				- Unexpected status Fund Proposal upon
				checker amendment
			2.3	This error id is encountered due to:
				<ul> <li>Unexpected status Standard Fee</li> </ul>
				Proposal upon checker amendment
3	Not Active	No action required	3.1	This error id is encountered due to:
		by your end		<ul> <li>Billing Fee is not Active during</li> </ul>
		[Category 3]		amendment
			3.2	This error id is encountered due to:
				<ul> <li>Fund Data is not Active during</li> </ul>
				inactivation
			3.3	This error id is encountered due to:
				<ul> <li>Fund Data is not Active during</li> </ul>
				amendment
4	System busy	System busy.	4.1	This error id is encountered due to:
		Please try again		- System busy. Participant should wait and
		later.		resubmit the request later.
5	Unexpected error	Unexpected error	5.1	This error id is encountered due to:
	encountered	encountered.		- Unexpected backend error. Participant
		Please contact		should capture the Trace ID and contact
		support. Error		the Synapse Support Leam
		reterence: [Trace		Network The mental sector of the fill
		נטו.		Note: The participant must provide the
				I race ID from the error message when
				requesting Synapse Support.

# 12. API Connectivity

# **12.1 API Specification Documentation**

Synapse applicants / Existing Synapse users who will access Synapse via API are required to develop their system according to the following documentation.

Document	Description	
API Specification and Programming Guide – Functional Drop 6 (Jan 2024)	Functionality of the API and the recommended programming guidelines for participants.	
API Specification - Java and JavaScript sample codes	Sample program to illustrate how to execute different Synapse API functionalities.	
OpenAPI and AsyncAPI Specification	OpenAPI and AsyncAPI Specifications that cover features described in the API Specification and Programming Guide.	
Sample Requests and Responses for Core Functionality	Sample requests and responses to the core functionalities described in the API Specification and Programming Guide.	
Single Combined View (SCV) Business Description – Functional Drop 6 (Jan 2024)	Detail description of each SCV field and corresponding visibility matrix.	

Synapse applicants / Existing Synapse users can reach out to HKEX Synapse Operations Team at <a href="mailto:synapse\_support@hkex.com.hk">synapse\_support@hkex.com.hk</a> for accessing the above API documentation.

# 13. ISO Connectivity

### **13.1 How to submit CUG request in MySwift**

Please refer to "SWIFT Connectivity Setup Guide" available on HKEX Synapse website.

# 13.2 How to access ISO Specification via Swift's MyStandards

Please refer to "SWIFT Connectivity Setup Guide" available on HKEX Synapse website.

# 14. Billing of Synapse Fees

Synapse Fees are waived until further notice. Upon Hong Kong Securities Clearing Company Limited ("HKSCC") decides to end that fee waiver, this section will describe the billing process for Synapse related fees.